



Welsh Information Governance Toolkit

Form version 15 by Welsh IG Toolkit

Achievement status: Minimum Expectations Not Met

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Organisation details

Corwen House

W94609

Betsi Cadwaladr UHB

Gwynedd

Organisation website

Health Care - NHS

Caldicott Guardian name

Dr Britto

Caldicott Guardian email

Dr Britto

Data Protection Officer name

Dr Britto

Data Protection Officer email

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Information Governance Lead name

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Senior Information Risk Owner name

Dr Britto

Senior Information Risk Owner email

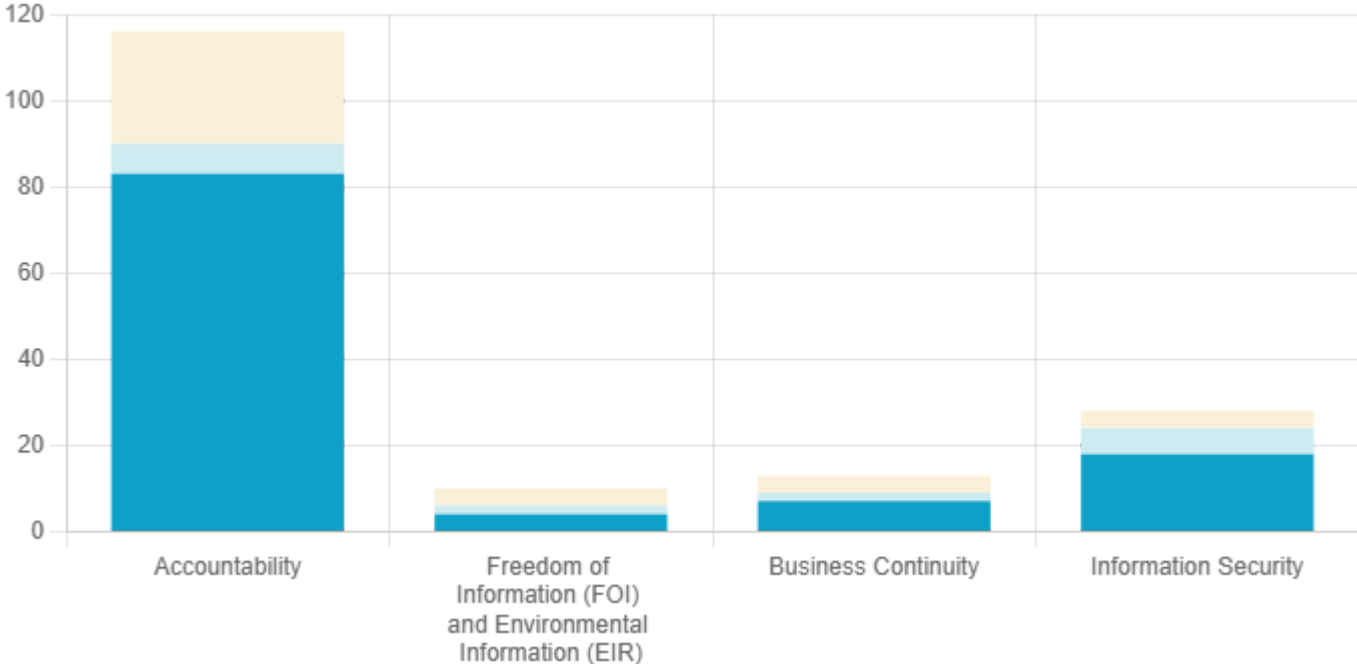
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Form Dashboard

Legend

■	Minimum Expectations
■	Minimum Expectations not met
■	Expectations Exceeded
■	Expectations Exceeded not met

Whole Form Chart



Accountability

Progress of each subsection within "Accountability". If a subsection has subsection(s) of its own, data from the subsection's subsection(s) will be aggregated with the subsection's graph.

Leadership and Oversight



Policies and Procedures



Training and Awareness



Individuals Rights



Records of Processing and Lawful Basis



Contracts and Information Sharing



Risks and Data Protection Impact Assessments (DPIAs)



Breach Response and Monitoring



Accountability

Leadership and Oversight

Minimum Expectations

100% (8/8)

Completing all of the questions in this group indicates that you meet the minimum expectations to fulfil your responsibilities set out in this section. If you answer any of the questions in a way that means you do not meet the minimum expectations, additional guidance will appear to support you.

Have one or more individuals been assigned responsibility for information governance (IG) and data protection?

Yes

Please provide evidence that staff have been appropriately assigned formal responsibility for IG and Data Protection.

UPLOADED FILES

[Template Job](#)

[Description IG Lead](#)

[V1.0.docx](#)

Has the organisation appointed a Data Protection Officer (DPO) or DPO Service?

Yes

Has the organisation appointed a Caldicott Guardian?

Yes

Is the organisation registered with the Information Commissioner's Office (ICO)?

Yes

What is the organisation's ICO registration number?

ZA021455

What is the date the organisation's current ICO registration is due to expire?

02-Oct-2024

Are the details held by the ICO about the organisation's registration accurate and up to date?

Yes

I confirm that all answers provided and evidence uploaded is accurate and up to date

Yes

Policies and Procedures

Minimum Expectations

100% (17/17)

Completing all of the questions in this group indicates that you meet the minimum expectations to fulfil your responsibilities set out in this section. If you answer any of the questions in a way that means you do not meet the minimum expectations, additional guidance will appear to support you.

Does the organisation have up to date IG related policies and procedures in place for:

- ✓ Data Protection/Information Governance
- ✓ Records Management (including records retention)
- ✓ Information Security
- ✓ Data Quality

Do policies and procedures clearly set out:

- ✓ The responsibilities that all staff have regarding information governance
- ✓ How the organisation only collects, uses and shares the minimum amount of data necessary for the purpose
- ✓ How the organisation ensures that data is only available to those who need it
- ✓ How the organisation stores data only for as long as is needed
- ✓ How the organisation informs individuals what is being done with their data

Are these policies and procedures made readily available to all staff?

Yes

Does the organisation monitor compliance with the policies and regularly review their effectiveness?

Yes

Please upload relevant policies and/or procedures.

UPLOADED FILES

[Policy Data Quality.docx](#)

[Policy Information](#)

[Governance V3.0.docx](#)

[Policy Records](#)

[Management V3.0.docx](#)

[Procedure Data &](#)

[Security Breach](#)

[V2.0.docx](#)

Please provide evidence to show that the organisation makes policies, operational procedures, and guidance readily available to staff

UPLOADED FILES

[Guidance Policies & Procedures Adopting and Implementing the DPOSS templates.docx](#)

Please provide evidence to demonstrate that the organisation keeps a record of the spot checks, that have been carried out, including details of any actions, who has approved any actions and who is taking them forward if applicable.

ALTERNATIVE DESCRIPTION

Policies are reviewed annually , and on a need to basis as and when required.

Does the organisation have policies or procedures in place to make sure that personal data breaches can be detected, managed and appropriately recorded?

Yes

Does the organisation have policies or procedures in place to assess any data breaches and if required, report them to the Information Commissioner's Office (ICO) within the statutory time frames?

Yes

Are there up to date policies or procedures to manage staff access to the premises and systems that process personal data?

Yes

Does the organisation have effective and up to date Freedom of Information (FOI) & Environmental Information Regulations (EIR) procedures and relevant guidance outlining high level responsibilities?

Yes

Please provide a copy of or an extract from the relevant policies or procedures.

UPLOADED FILES

[Procedure Data & Security Breach V2.0.docx](#)

Please provide a copy of or an extract from the relevant policies or procedures.

ALTERNATIVE DESCRIPTION

Section 6.4 of the template Personal Data Breach and Security Incident Procedure outlines assessing the risks. With Section 6.5 detailing the notification of breaches.

Please provide a copy of or an extract from the relevant policies or procedures.

ALTERNATIVE DESCRIPTION

Section 6.3 of the Information Security Policy details access controls, with Section 6.3.5 focusing on staff leavers and movers.

Please provide a copy of or an extract from the relevant procedure and guidance outlining high level responsibilities.

UPLOADED FILES

[Procedure FOI and EIR V1.0 \(1\).docx](#)

Does the organisation have policies or procedures in place that advise staff how to securely dispose of confidential records/data that are no longer required?

Yes

Please provide a copy of or an extract from the relevant procedure and guidance outlining the disposal process.

ALTERNATIVE DESCRIPTION

Section 6.12 of the Records Management Policy details destruction.

Expectations Exceeded

0% (0/6)

Completing any proportion of the questions in this group indicates that you exceed the expectations required to fulfil your responsibilities set out in this section. Please note, the questions in this group will be disabled until the minimum expectations are met.

Are all new and updated policies and procedures reviewed and approved by a senior staff member prior to implementation?

Not answered.

Does the organisation actively inform staff about updated policies and procedures?

Not answered.

Does the organisation keep a record to positively confirm staff have read and understood relevant policies and procedures?

Not answered.

I confirm that all answers provided and evidence uploaded is accurate and up to date

Yes

Training and Awareness

Completing all of the questions in this group indicates that you meet the minimum expectations to fulfil your responsibilities set out in this section. If you answer any of the questions in a way that means you do not meet the minimum expectations, additional guidance will appear to support you.

Has an IG, data protection and cyber security Training Needs Analysis (TNA) been completed in the last twelve months?

Yes

Does the IG and data protection TNA meet the needs of all staff and includes key areas of IG and data protection including:

- ✓ Handling requests for information
- ✓ Sharing of staff and patient personal information
- ✓ Information security
- ✓ Breaches of personal information
- ✓ Records management

Does the TNA include induction and refresher training for all staff, regardless of how long they will be working for the organisation, their grade or contractual status?

Yes

Does the organisation regularly review the TNA to ensure that it remains accurate and up to date?

Yes

Please provide a copy of the TNA that includes Data Protection/IG training needs.

UPLOADED FILES

[Template Training](#)

[Needs Analysis](#)

[V1.0.docx](#)

Please confirm the date the TNA was last reviewed.

07-Mar-2024

Does the organisation have a training log/register of staff training compliance in place?

Yes

Are all staff required to complete mandatory IG refresher training at appropriate intervals?

Yes

Does the organisation meet or exceed a compliance rate of 75% across all staff groups for the completion of IG mandatory training every two years?

Yes

Please provide evidence to demonstrate that the organisation meets or exceeds the compliance rate for the completion of IG mandatory training.

ALTERNATIVE DESCRIPTION

16 out of 19 staff have completed their training

Have all staff with operational responsibility for IG and data protection received appropriate training to carry out their role, including refresher training or relevant continued professional development (CPD) activities?

Yes

Has the appointed Data Protection Officer received appropriate training to carry out their role and are they provided with continuous professional development to maintain their expert knowledge?

Yes

Has the appointed Caldicott Guardian received appropriate training to carry out their role and received refresher training at least every two years?

Yes

Please provide evidence to demonstrate that staff with operational responsibility for IG and data protection have received appropriate training.

ALTERNATIVE DESCRIPTION

The courses have been booked for 26.3.24 , and as and when further dates are released by the DPO.

Please provide evidence to demonstrate that the appointed Data Protection Officer has received and is provided with appropriate continuous professional training.

ALTERNATIVE DESCRIPTION

Subscribed to the DHCW DPO Support Service

Please provide evidence to demonstrate that the appointed Caldicott Guardian has received appropriate training and received refresher training at least every two years.

ALTERNATIVE DESCRIPTION

Next date of training booked - 26.3.24

Expectations Exceeded

0% (0/4)

Completing any proportion of the questions in this group indicates that you exceed the expectations required to fulfil your responsibilities set out in this section. Please note, the questions in this group will be disabled until the minimum expectations are met.

Does the organisation keep evidence that it regularly uses a variety of methods to raise staff awareness and the profile of IG and data protection, for example by emails, team briefings and meetings, posters, handouts and blogs?

Not answered.

Does the organisation meet or exceed a compliance rate of 85% for the completion of mandatory IG training every two years?

Not answered.

I confirm that all answers provided and evidence uploaded is accurate and up to date

Not answered.

Individuals Rights

Minimum Expectations

100% (16/16)

Completing all of the questions in this group indicates that you meet the minimum expectations to fulfil your responsibilities set out in this section. If you answer any of the questions in a way that means you do not meet the minimum expectations, additional guidance will appear to support you.

Does the organisation have a procedure in place for dealing with requests to exercise the range of individual rights under data protection legislation including:

- ✓ Right to be Informed
- ✓ Right of Access
- ✓ Right to Rectification
- ✓ Right to Erasure
- ✓ Right to Restrict Processing
- ✓ Right to Data Portability
- ✓ Right to Object
- ✓ Rights relating to automated decision making

Please provide a copy of your individual rights policy/procedure.

UPLOADED FILES

[Procedure Individual Rights V1.0.docx](#)

Does the organisation take steps to make all staff aware of how to recognise a request from an individual under data protection legislation, and their responsibilities to ensure any such request is dealt with?

Yes

Does the organisation have specific staff responsible for managing and responding to individuals following requests made under data protection legislation?

Yes

Does the organisation maintain a log of all written and verbal requests from individuals, made under data protection legislation, that records receipt of the request, tracks its progress, and outcomes?

Yes

Please provide the job title or team responsible for managing and responding to individual rights requests.

Mena Britto

Please provide a redacted extract (remove the name/address/other identifiers of data subjects) of the request log.

UPLOADED FILES

[Template Register SAR & Individual Rights V2.0 \(1\).xlsx](#)

Does the organisation provide information that informs individuals how they can exercise their rights under data protection legislation?

Yes

Does the organisation take steps to make all staff aware of how to inform individuals where to locate privacy information and how they can exercise their rights?

Yes

Where the organisation processes children's information, is particular care taken to write privacy information in clear, plain language which is age appropriate?

Yes

Does the organisation utilise a layered approach to provide privacy information in a variety of formats?

Yes

Please provide evidence of the privacy notices in place, including, where applicable, privacy information for children.

UPLOADED FILES

[Privacy Information](#)

[Children and Young](#)

[People V1.0 \(1\).\(1\).docx](#)

[Privacy Information](#)

[New Patients V1.0.docx](#)

[Template Privacy Notice](#)

[Staff V3.0 \(1\).docx](#)

[Template1 Privacy](#)

[Notice Patients and](#)

[Carers V3.0 \(1\).docx](#)

Does privacy information include:

- ✓ The identity and contact details of the controller
- ✓ The contact details of the data protection officer
- ✓ The purposes of the processing and the lawful basis being relied upon
- ✓ The organisations who personal information is shared with
- ✓ The period for which personal data will be retained
- ✓ The existence of individual rights
- ✓ The right to lodge a complaint with the ICO

Where the organisation transfers personal information to any third countries or international organisations, is the processing documented within your privacy information?

N/A

Where the organisation relies on legitimate interests as a lawful basis, are the legitimate interests pursued documented within your privacy information?

Yes

Where the organisation relies on consent as a lawful basis, is the right to withdraw consent documented within your privacy information?

N/A

Expectations Exceeded

0% (0/2)

Completing any proportion of the questions in this group indicates that you exceed the expectations required to fulfil your responsibilities set out in this section. Please note, the questions in this group will be disabled until the minimum expectations are met.

Are responses to individual rights requests maintained in line with the Records Management Code of Practice?

Not answered.

Does the organisation regularly review privacy information to ensure that it is accurate, up to date and effective?

Not answered.

I confirm that all answers provided and evidence uploaded is accurate and up to date

Not answered.

Records of Processing and Lawful Basis

Minimum Expectations

100% (2/2)

Completing all of the questions in this group indicates that you meet the minimum expectations to fulfil your responsibilities set out in this section. If you answer any of the questions in a way that means you do not meet the minimum expectations, additional guidance will appear to support you.

Does the organisation have a formal 'Record of Processing Activities' (ROPA) that:

- ✓ Is regularly reviewed to ensure that it remains accurate and up to date
- ✓ Documents the lawful basis, or bases, relied upon for different processing activities
- ✓ Documents the purpose for the processing of personal information for each activity on the ROPA

Please provide a copy or an extract of the organisational ROPA.

UPLOADED FILES

- [Records of Processing Activities \(ROPA\).](#)
- [Register V1.0.xlsx](#)

Expectations Exceeded

0% (0/4)

Completing any proportion of the questions in this group indicates that you exceed the expectations required to fulfil your responsibilities set out in this section. Please note, the questions in this group will be disabled until the minimum expectations are met.

Where consent for processing information is obtained from individuals, does the organisation keep evidence of what, when and how the individual was informed?

Not answered.

If the organisation relies on legitimate interests for the lawful basis, are appropriate 'legitimate interest assessments' (LIA) completed prior to the processing?

Not answered.

Can the organisation demonstrate that all processing on the 'Record of Processing Activities' (ROPA) is covered by the privacy information?

Not answered.

I confirm that all answers provided and evidence uploaded is accurate and up to date

Not answered.

Contracts and Information Sharing

Minimum Expectations

86% (13/15)

Completing all of the questions in this group indicates that you meet the minimum expectations to fulfil your responsibilities set out in this section. If you answer any of the questions in a way that means you do not meet the minimum expectations, additional guidance will appear to support you.

Does the organisation have policies or procedures to ensure that contracts are in place with all suppliers, contractors, data processors and third parties?

Yes

Does the organisation ensure all contracts for suppliers, contractors, data processors and third parties are documented in a log, register or registers as appropriate?

Yes

Does the organisation carry out pre and post procurement checks to make sure that suppliers, contractors, data processors and third parties it uses, comply with data protection legislation?

Yes

Where the organisation uses a third party to destroy records and equipment, is there a written contract in place?

No

Please provide a copy of the policy and/or procedure that ensures the necessary contracts and agreements are in place.

UPLOADED FILES
[Policy Information Governance V3.0.docx](#)

Please provide evidence that all contracts are recorded.

UPLOADED FILES
[Records of Processing Activities \(ROPA\) Register V1.0.xlsx](#)

Please provide evidence of the organisation's pre and post procurement processes.

UPLOADED FILES
[Template Checklist Due Diligence V1.0.docx](#)

Does the organisation ensure that security and confidentiality clauses/agreements are in place for:

- ✓ Permanent staff
- ✓ Temporary and agency staff
- ✓ Students and volunteers
- ✓ Locum workers

Please provide extract of the security and confidentiality clauses/agreements for ALL staff as detailed.

UPLOADED FILES

[Template Policy Confidentiality and Declaration Document V1.0.docx](#)

Does the organisation document existing information sharing protocols/agreements, their durations and who is party to them?

Yes

Is there a process in place for agreeing and approving ad-hoc sharing of personal data?

Yes

Has the organisation acknowledged and signed up to the Wales Accord on the Sharing of Personal Information (WASPI)?

Yes

Please provide an extract of the information sharing protocols/agreement log.

ALTERNATIVE DESCRIPTION

The ROPA template includes columns to document details of any information sharing agreements in place for each processing activity.

Please provide evidence of the process for the ad hoc sharing of personal information.

ALTERNATIVE DESCRIPTION

information security policy

Expectations Exceeded

0% (0/4)

Minimum Expectations not met

Completing any proportion of the questions in this group indicates that you exceed the expectations required to fulfil your responsibilities set out in this section. Please note, the questions in this group will be disabled until the minimum expectations are met.

Is there a review process in place to ensure contracts and agreements remain up to date for:

Not answered.

Are all information sharing agreements/protocols reviewed at regular intervals and is the Information Sharing Register maintained in accordance with any changes/updates?

Not answered.

I confirm that all answers provided and evidence uploaded is accurate and up to date

Not answered.

Risks and Data Protection Impact Assessments (DPIAs)

Minimum Expectations

58% (7/12)

Completing all of the questions in this group indicates that you meet the minimum expectations to fulfil your responsibilities set out in this section. If you answer any of the questions in a way that means you do not meet the minimum expectations, additional guidance will appear to support you.

Does the organisation take steps to make all staff aware of the need to consider a Data Protection Impact Assessment (DPIA) and the process to be followed?

Yes

Does the process detail that a DPIA is considered:

- ✓ In advance of the processing of personal data commencing
- ✓ When contemplating changes to existing or new projects
- ✓ When contemplating existing or new services or systems

When carrying out a DPIA, are staff aware they need to seek the advice and guidance of the Data Protection Officer (DPO)?

Yes

Does the organisation maintain a register for all completed and ongoing DPIAs?

Yes

Please provide evidence of the process.

UPLOADED FILES

[Template Procedure Data Protection Impact Assessment \(DPIA\) V1.0 \(1\).docx](#)

Please provide evidence that staff have been made aware of the requirement to seek advice and guidance of the DPO.

ALTERNATIVE DESCRIPTION

The role of the DPO is outlined in Section 5.4 of the Data Protection Impact Assessment Procedure and seeking advice from the DPO Service is referred to throughout the procedure.

Please provide a copy or extract of the Register.

UPLOADED FILES

[Template Register DPIA V1.0.xlsx](#)

Are staff made aware of who should finalise the DPIA in the organisation?

No

Are all DPIAs reviewed signed off by a nominated person?

No

Where the DPIA identifies any residual high risks, is there a process for the Information Commissioner's Office (ICO) to be consulted, prior to processing commencing?

No

Expectations Exceeded

0% (0/6)

Minimum Expectations not met

Completing any proportion of the questions in this group indicates that you exceed the expectations required to fulfil your responsibilities set out in this section. Please note, the questions in this group will be disabled until the minimum expectations are met.

Has the organisation adopted a Risk Management process:

Not answered.

Is there a formal procedure to identify, record and manage risks associated with information assets in the organisation's information asset register?

Not answered.

Are high level unmitigated risks reported to the senior management team?

Not answered.

Are DPIAs used to inform and assist in the development of privacy information to meet specific needs of the project/service?

Not answered.

Are DPIA policies/procedures regularly reviewed to ensure they remain reflective of requirements?

Not answered.

I confirm that all answers provided and evidence uploaded is accurate and up to date

Not answered.

Breach Response and Monitoring

Minimum Expectations

100% (4/4)

Completing all of the questions in this group indicates that you meet the minimum expectations to fulfil your responsibilities set out in this section. If you answer any of the questions in a way that means you do not meet the minimum expectations, additional guidance will appear to support you.

Does the organisation have an incident management system in place to register, report and follow up on data breaches?

Yes

Where the organisation suffers a data breach or near miss, does the Organisation:

- ✓ Report to the senior management team or Board
- ✓ Report to the DPO when appropriate
- ✓ Notify individuals effected (where appropriate)
- ✓ Report in the incident management system
- ✓ Consider if forming a possible trend
- ✓ Conduct a root cause analysis (where appropriate)

Has the organisation suffered a data breach or near miss in the last 12 months?

No

Please explain how the incident management system works in practice.

The DPO Service have developed a template Personal Data Breach and Security Incident Procedure which is available for practices to adopt. This is supported by the GP Data Incident Report Form.

In addition, practices are encouraged to utilise the template Information Governance Incident Register which includes details of the breach, consequences and measures and actions undertaken.

I confirm that all answers provided and evidence uploaded is accurate and up to date

Not answered.

Freedom of Information (FOI) and Environmental Information (EIR)

Minimum Expectations

66% (4/6)

Completing all of the questions in this group indicates that you meet the minimum expectations to fulfil your responsibilities set out in this section. If you answer any of the questions in a way that means you do not meet the minimum expectations, additional guidance will appear to support you.

Does the organisation take steps to make staff aware of how to recognise and where to direct any requests that may fall within the scope of Freedom of Information (FOI) or Environmental Information Regulations (EIR) that they may receive and understand the importance of doing so promptly due to the strict time constraints?

Yes

Please provide evidence of guidance/training or other relevant information provided to staff outlining responsibilities.

UPLOADED FILES

[Template Procedure Data Protection Impact Assessment \(DPIA\) V1.0 \(1\).docx](#)

Has the Information Commissioner's Office (ICO) Model publication scheme or an organisational ICO approved scheme been adopted and made available to members of the public via the organisation's webpage?

No

Are clear communication points indicated on the organisation's website sign-posting where further/additional information can be found?

Yes

Please provide evidence of communication points indicating where further/additional information can be found.

UPLOADED FILES

[Template FOI Publication Scheme V2.0.docx](#)

Expectations Exceeded

0% (0/4)

Minimum Expectations not met

Completing any proportion of the questions in this group indicates that you exceed the expectations required to fulfil your responsibilities set out in this section. Please note, the questions in this group will be disabled until the minimum expectations are met.

Is the organisation's website content regularly reviewed to ensure it aligns with its publication scheme with data proactively published where appropriate?

Not answered.

Have staff with responsibility for FOI & EIR received training to enable them to:

Not answered.

Does the organisation maintain an FOI disclosure log?

Not answered.

I confirm that all answers provided and evidence uploaded is accurate and up to date

Not answered.

Information Security

Minimum Expectations

75% (18/24)

Completing all of the questions in this group indicates that you meet the minimum expectations to fulfil your responsibilities set out in this section. If you answer any of the questions in a way that means you do not meet the minimum expectations, additional guidance will appear to support you.

Are there processes in place for controlling physical and technical access for staff starting, moving and leaving the organisation?

Yes

Does the organisation maintain a record of all individuals with access to personal information on electronic systems?

Yes

Is staff access to systems:

✓ Monitored and Audited
✓ And staff are informed that access to the IT systems is monitored and audited

Please provide evidence of the organisation's starters, leavers and movers process.

UPLOADED FILES

[Policy IT and Information Security V2.0.docx](#)

Please provide evidence to demonstrate a record is maintained.

ALTERNATIVE DESCRIPTION

register maintained

Please provide evidence to demonstrate access is monitored and audited.

UPLOADED FILES

[Policy IT and Information Security V2.0.docx](#)

Do all computers and other devices used across the organisation have antivirus/anti-malware software installed that is kept up to date?

Yes

Does the organisation have a password policy/guidance providing advice to staff on managing their passwords?

Yes

Please provide a copy of the password policy.

UPLOADED FILES

[Template Register](#)

[System Users V1.0.xlsx](#)

Do all areas in the organisation, where personal information can be accessed, have physical controls in place to prevent unauthorised access?

No

Are staff made aware and encouraged to maintain security measures in their own department/work areas/branch?

No

Are staff made aware of the reporting procedures in the event of any physical or technical security concerns?

Yes

If the organisation allows staff to use their own devices (e.g. phones) for work purposes, is there a Bring Your Own Device policy in place?

Yes

Please detail how staff are made aware of the reporting procedures.

The DPO Service has developed a Risk/concern escalation map for practices to utilise.

Please provide a copy of the Bring Your Own Device policy.

UPLOADED FILES

[Template Policy Bring](#)

[Your Own Device](#)

[V1.0.docx](#)

Does the organisation have in place appropriate procedures and technical controls for the use of mobile devices such as smart phones to prevent unauthorised access/inappropriate use?

N/A

Has the organisation issued appropriate guidance to staff, directors, trustees and volunteers in relation to the use of public Wi-Fi for work purposes?

No

Please detail the controls in place for smart phones and other mobile devices supported by the organisation.

Section 6.3.4 of the Information Security Policy details the requirements for remote working, This includes the use of public Wi-Fi.

Does the organisation have in place appropriate procedures for the management of paper records removed from the building?

Yes

Where the organisation has local networking components, such as a Wi-Fi router, does the organisation ensure that passwords have been changed from their original passwords?

Yes

Please provide a copy of your organisational policy, procedure/SOP for the management of paper records removed from organisational premises.

ALTERNATIVE DESCRIPTION

The DPO Service has developed a template Transportation of PII Procedure which is available for practices to adopt.

Section 6.4 details transporting paper records.

Expectations Exceeded

0% (0/4)

Minimum Expectations not met

Completing any proportion of the questions in this group indicates that you exceed the expectations required to fulfil your responsibilities set out in this section. Please note, the questions in this group will be disabled until the minimum expectations are met.

Are routine information security checks/audits regularly conducted that consider compliance with information security policies and procedures and:

Not answered.

Does the organisation take action to address Mail Marshal breach notifications received?

Not answered.

I confirm that all answers provided and evidence uploaded is accurate and up to date

Not answered.

Business Continuity

Minimum Expectations

77% (7/9)

Completing all of the questions in this group indicates that you meet the minimum expectations to fulfil your responsibilities set out in this section. If you answer any of the questions in a way that means you do not meet the minimum expectations, additional guidance will appear to support you.

Does the organisation have a business continuity plan that covers information and cyber security?

Yes

Has the organisation appointed an individual or team with responsibility for information and cyber security business continuity?

Yes

Is there an effective test of the business continuity plan and disaster recovery plan for information and cyber security incidents?

No

Please provide a copy or an extract of the business continuity plan.

UPLOADED FILES

[Template Business Continuity Plan V1.0 \(1\).docx](#)

Please provide evidence to show the organisation has assigned appropriate responsibility for information and cyber security business continuity.

ALTERNATIVE DESCRIPTION

The responsible individual is detailed within the template business continuity plan and procedure.

Are all emergency contacts kept securely, in hardcopy and are up-to-date?

Yes

Are staff made aware of:

- ✓ The implication of the Business Continuity Plan for information and cyber security in their role
- ✓ How they can access the plan

Please provide evidence of how staff are informed of the business continuity plan for information and cyber security.

ALTERNATIVE DESCRIPTION

they will be sent an email to inform them of the location of the BC plan

Expectations Exceeded

0% (0/4)

Minimum Expectations not met

Completing any proportion of the questions in this group indicates that you exceed the expectations required to fulfil your responsibilities set out in this section. Please note, the questions in this group will be disabled until the minimum expectations are met.

Is the business continuity plan for information and cyber security regularly reviewed and updated accordingly?

Not answered.

Has the business continuity plan been approved by the senior management team or Board?

Not answered.

I confirm that all answers provided and evidence uploaded is accurate and up to date

Not answered.