











Information Governance Risk Review

Instructions

Please answer the questions as accurately as possible. Your entries will not be saved until you press the "Submit" button and, once submitted, you will not be able to edit your answers. So please make sure you are able to answer most of the questions before you start.

Description

Name	<input type="text"/>	 
Type of initiative	Select or type... 	
Title of the initiative	<input type="text"/>	
From what area does the initiative originate?	Select... 	
Date Submitted	06/03/2019	
Initiative/Project Code/Short Name	<input type="text"/>	
Name of business owner of this initiative	<input type="text"/>	 
Describe the primary business objectives of the initiative. <i>(Please limit to a maximum of 255 characters, including spaces)</i>	<input type="text"/>	
What users will be impacted by the initiative?	Select...  Please specify Specific Team or Other is selected above	
Date initiative is due to go live	<input type="text"/>	

Confidentiality

Confidentiality is a characteristic that applies to information. To protect and preserve the confidentiality of information means to ensure that it is not made available or disclosed to unauthorised entities. In this context, entities include both individuals and processes. Think about the information involved in your initiative. Further information and examples can be found [here \(http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=15677\)](http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=15677).

Q1 Which of these statements best describes the initiative as you currently understand it?**Highly Restricted**

Defined as information where a breach in confidentiality would cause:

Significant distress or financial loss to individuals;

Significant fines and enforcement action by the Information Commissioner's Office for data breaches;

Significant reputational damage;

Withdrawal of one or more significant research grants, contracts or donations;

Litigation against the University; and/or Significant financial loss due to premature disclosure of Intellectual Property.

Information which is accessible by a tightly defined group of users, dealing with issues they are exclusively authorised to handle.

Examples - health related information regarding staff, students or research participants; research related to key industrial fields at particular risk of being targeted; legal advice and other papers related to legal action; reserved committee papers



Restricted	<p>Defined as information that, whilst not categorised as Highly Restricted, could result in harm or distress to individuals or the University if there were a breach in confidentiality.</p> <p>Accessible by legitimate groups of University users.</p> <p><i>Examples - routine records related to staff or students; routine financial information; teaching materials; question papers</i></p>	<input type="radio"/>
Unrestricted	<p>Little or no adverse effect on individuals or the University if there was a breach in confidentiality.</p> <p>Information that is consciously placed in the public domain.</p> <p>Freely accessible as required</p> <p><i>Examples - press release, public marketing material, financial reports after declaration, and information already approved for publication on the internet.</i></p>	<input type="radio"/>

Integrity		
<p>Integrity: to preserve the integrity of information means to protect the accuracy and completeness of information and the methods that are used to process and manage it. Think about how important the accuracy and integrity of your information is to your business operation or initiative.</p>		
Q2 Which of these statements best describes the initiative as you currently understand it?		
Critical	<p>Any information that is indispensable or essential to maintain University operations and/or to maintain integrity of University assets, and/or to protect individuals - loss of, or inaccuracy in, this information could result in severe operational impact, or give rise to severe financial, regulatory or reputational consequences. Critical information will be subject to rigorous access controls and measures to ensure its continuing accuracy. <i>99%-100% error free information.</i></p>	<input type="radio"/>
Important	<p>Any information that is fundamental to maintain University operations and/or to maintain integrity of University assets, and/or to protect individuals. Like Critical integrity the information classified as Important will be subject to controls and measures to maintain accuracy, however the degree of control is likely to be less rigorous. The consequences of a loss of integrity will be less severe than is the case for Critical information. <i>90-98% error free information.</i></p>	<input type="radio"/>
Unimportant	<p>Any information that is lacking in value to maintain University operations and/or to maintain integrity of University assets, and/or to protect individuals, although susceptible to integrity breaches, would not result in significant business consequences. Controls for access to modify these information sources may exist, but they would be limited and proportional to the inconvenience of any integrity breach. <i><90% error free information.</i></p>	<input type="radio"/>

Availability		
<p>Availability: is a characteristic that applies to assets. An asset is available if it is accessible and usable when needed by an authorised entity. In the context of this assessment, assets include things like information, systems, facilities, networks, and computers. All of these assets must be available to authorised entities when they need to access or use them.</p>		
Q3 Which of these statements best describes the initiative as you currently understand it?		
Critical	<p>Describes information assets where availability (and the expectation of availability) is imperative to the operation of the University. Any failure of availability would result in a severely impaired ability to make management decisions, impact key control procedures and may result in a legal liability, loss of public confidence and costs arising from workarounds and restoration of service. <i>No interruption of access beyond 4 working hours.</i></p>	<input type="radio"/>
Important	<p>Information assets where routine availability is embedded in the normal operation of the University. Loss of availability would result in a degraded ability to make management decisions and operate normal control procedures, but if restored within appropriate limits would be unlikely to result in legal liability, loss of public confidence, or costs arising from workarounds and restoration of service. <i>No interruption of access beyond 8 service hours.</i></p>	<input type="radio"/>
Unimportant	<p>Information assets where loss of availability would result in a degraded ability to undertake some aspect of the University. Unlikely to impact upon the ability to make management decisions, operate control procedures. Loss of availability would result in inconvenience for the impacted business area, but would not lead to legal liability and is unlikely to result in a loss of public confidence. Cost of workaround/restoration are likely to be low, but proportional to the asset nature. <i>Interruption of access may extend beyond 10 working days or be in the next planned release for approval.</i></p>	<input type="radio"/>

Processing personal data

This section of the IGRR is used to determine if your initiative requires a Data Protection Impact Assessment.

Q4 Which of these statements best describes the initiative as you currently understand it

Sensitive Personal Data

This type of initiative will create/handle/process/access/transport/transmit/host/view any of the following personal data:

- race or ethnic origin;
- political opinions;
- religious or philosophical beliefs;
- trade union membership;
- genetic data;
- biometric data (where used for identification purposes);
- health;
- sex life or sexual orientation; or
- criminal convictions and offences

Or involves processing personal data which might:

- involve any systematic evaluation of individuals, including profiling, in ways that can have a significant impact on them e.g. decisions about an individual's access to a product, service, opportunity or benefit;
- give rise to identity theft, fraud or financial loss to the data subject e.g. processing financial information e.g. salary, National Insurance Number, bank account details, tax, benefit or pensions records, debt information;
- involve using new technology that might be perceived as being privacy intrusive e.g. the use of video or voice recording, biometrics, facial recognition;
- require you to contact individuals in a way that they may find intrusive e.g. marketing;
- involve the use of new technologies, or the novel application of existing technologies (including artificial intelligence) in a way which uses identifiable information or would impact individuals;
- involve combining, comparing or matching personal data obtained from multiple sources;
- involve personal data that has not been obtained direct from the data subject;
- involves tracking an individual's geolocation or behaviour, including but not limited to the online environment; or
- target children (under 16) or other vulnerable individuals.

Personal data

Personal data means data which relate to a living individual who can be identified: From those data, or

From those data and other information which is in the possession of, or is likely to come into the possession of, the data controller

No Personal data

This type of initiative may use a variety of data types (or sources), but none of the data handled could be used to identify an individual.

Q5 Approximately how many individual's records will it involve?

Regulatory Requirements

This section of the IGRR is used to determine whether an initiative needs to meet external regulatory requirements.

Q6 Required to comply with Cyber Essentials?

Q7 Required to comply with PCI DSS?

Q8 Required to comply with the NHS Data Security and Protection Toolkit (previously "IG Toolkit")?

Q9 Are there any other external regulatory requirements or standards which the initiative needs to comply with other than data protection laws?

If yes, please state (list all that apply)

3rd Parties

This section of the IGRR will determine the need to consider risks associated with third parties involved with your initiative

Q10 Does the initiative involve a third party

Q11 Does the University have an existing contract with this third party?

Q12 Does the initiative require an update to an existing contract?

Hosting

This section of the IGRR is used to determine where the data captured by your initiative will be hosted (stored)

Q13 Does the initiative involve the hosting of information in the University of Manchester datacentre?

Q14 Does the initiative involve the hosting of information on University of Manchester-owned premises but not in the data centre?

Q15 Does the initiative involve the hosting of information by a third party service provider?

Q16 Does the initiative involve accessing information outside the European Economic Area?

Automation and Control Systems

This section of the IGRR will determine the need to consider risks associated with control systems involved with your initiative, for example industrial control systems, process control systems, instrumentation, automation, telemetry, and SCADA (supervisory control and data acquisition). Examples of Control Systems at the University are Medical Devices, National Instruments Laboratory, Jodrell Bank etc.

Q17 Does the initiative impact on University control systems?

Once you have finished checking and editing your answers, please click the Submit button to the right.

Once submitted, you will not be able to amend your answers.

Get support

Log an issue (<http://remedy.manchester.ac.uk/cgi-bin/submitnologin.cgi>)

Register for training (<https://app.manchester.ac.uk/CDDSHAREOG>)

Experts and contacts (</help/Pages/experts.aspx>)

Information and documents

What is SharePoint? (</getstarted/Pages/whatis.aspx>)

Help (</help>)

Policies (</policy>)

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