**Process:** Control of Records

Purpose: To ensure that documented information is available, suitable for use, retained where necessary and adequately protected from damage, loss of confidentiality, improper use or loss of integrity.

Output: Records of evidence of conformity to processes.

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| **S/NO.** | **ACTIVITIES**  | **INPUTS** | **RISKS** | **RISK LEVEL** | **RISK IMPACT** | **MITIGATION** | **OPPORTUNITY** | **ACTIONS** |
| 1. | Identification, Distribution and Use  | Data, Information and knowledge  | * Competence of persons
 | Medium | High | Assign competent persons for respective tasks  | * Use of technology
* Adoption of new and best practices in documentation and record management.
 | * Use technology for records tracking and management.
* Technology to facilitate wider accessibility of procedure.
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| * Complexity of process
 | Create awareness on the procedure  |
| * Inadequate information, data
 | Knowledge and information sharing for records management |
| * Mislabeling of records
 | capacity building for persons assigned the task |
| 2. | Access, Storage and preservation. | Records of both internal and external origin | * Poor storage facilities i.e cabinets
 | Medium | High  | Provision of adequate storage resources. | * Integration with ISMS Standard for information security
* Automation to improve information safety
* Benchmarking on new methods
 | * Establish Archives for retention of records
* Use technology to secure soft copy documents
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| * Unauthorized access
 | Restriction of access by passwords, locks etc  |
| * Illegibility
 | Preservation in the right environment i.e light, humidity  |
|  |  |  | * Destruction/ theft/data loss
 |  |  | * Protection of physical facilities
* Provide back-ups
 |  |
| * Loss of confidentiality/Integrity
 |  |  | * Administering oath to responsible personnel
* Encryption of data
* Implement sanctions for reported cases
* Sensitization of staff on the procedure for control of records
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| 3. | Retention and Disposition  | Evidence of conformity to processes | Unintended alterations  | Low  | High | * Restriction of access as applicable
* Approval and authorization of alterations
 |  | Develop mechanisms for monitoring the state of records  |
| Obliteration of records | Sensitization on procedure |