

Data Security Audit Checklist

Template v1

This checklist is a guide which you might chose to use – you can add or remove these checks from your audits as applicable for your organisation.

Staff	Date audited
Spot check that staff understand their responsibility towards data security	
Spot check that staff are aware of our data protection policies	
Have staff received training on data protection?	
Have any staff undergone disciplinary action in relation to data protection and security?	
Spot check that staff understand how to report security breaches and near misses.	
Physical Access to hardcopy records	
Check the record of which staff have access to confidential areas is up to date.	
All offices, files, or cabinets which contain confidential information are kept locked when not in use.	
Has all confidential waste been disposed of securely and are there destruction certificates? (If applicable)	
Has anyone inappropriately accessed, or attempted to access, confidential records?	
Digital Access to records	
Is the allocation of administrator rights restricted?	
Have staff access rights been reviewed?	
Check if there is any evidence of staff sharing access rights.	
Screens are locked when not in use.	
Check that our password policy is being followed	
Has anyone inappropriately accessed, or attempted to access, confidential records?	
Have appropriate security measures been applied to all computers, laptops and mobile devices?	
Staff are using computers appropriately e.g. no personal use, no downloading unapproved software, no social media use etc.	
Sharing data	
Our procedures for safely sharing personal information via post are being followed.	

Our procedures for safely sharing personal information via fax are being followed.	
Our procedures for safely sharing personal information via secure email are being followed.	
Legal Checks	
The Information Asset Register has been reviewed and signed off.	
The Record of Processing Activities has been reviewed and signed off.	
Records of consent are up to date and still applicable.	