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by UK software

Information & Records Control Checklist

Use this checklist to assess how effectively your organisation controls and manages its records and information. Identify gaps in structure, access, and governance, and highlight areas that may increase risk or reduce efficiency.

Scoring

Yes = 2 points
Partially = 1 point
No = 0 points
Add up your score at the end to see your result.

1. Organisation & Structure

Is your information organised in a clear and logical structure?

☐ Yes ☐ Partially ☐ No

Are naming conventions and formats used consistently?

☐ Yes ☐ Partially ☐ No

Is there a defined structure for storing and managing records?

☐ Yes ☐ Partially ☐ No

Can users easily find the correct version of a document or record?

☐ Yes ☐ Partially ☐ No

2. Access & Permissions

Is access to information controlled based on roles or responsibilities?

☐ Yes ☐ Partially ☐ No

Do users only have access to the information they need?

☐ Yes ☐ Partially ☐ No

Are sensitive or confidential records properly restricted?

☐ Yes ☐ Partially ☐ No

Is access regularly reviewed and updated when roles change?

☐ Yes ☐ Partially ☐ No

3. Version Control & Accuracy

Do you maintain clear version control for records and documents?

☐ Yes ☐ Partially ☐ No

Can you see what changes were made and by whom?

☐ Yes ☐ Partially ☐ No

Are outdated or duplicate records removed or archived?

☐ Yes ☐ Partially ☐ No

Is information kept accurate and up to date?

☐ Yes ☐ Partially ☐ No

4. Processes & Governance

Do you have defined processes for creating, updating, and managing records?

☐ Yes ☐ Partially ☐ No

Are these processes followed consistently across teams?

☐ Yes ☐ Partially ☐ No

Are roles and responsibilities for managing information clearly defined?

☐ Yes ☐ Partially ☐ No

Are governance or compliance requirements clearly understood?

☐ Yes ☐ Partially ☐ No

5. Compliance & Risk

Does your current approach support regulatory or compliance requirements?

☐ Yes ☐ Partially ☐ No

Can you quickly retrieve records when required (e.g. for audits)?

☐ Yes ☐ Partially ☐ No

Are risks related to missing, incorrect, or inaccessible information minimised?

☐ Yes ☐ Partially ☐ No

Is there a clear process for improving control over time?

☐ Yes ☐ Partially ☐ No

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Your Score

Yes = 2 points / Partially = 1 point / No = 0 points
Total possible score: 40
Add up your points:

What your score means

30–40

Strong Control

You have structured, well-managed information with strong governance and control.

Focus next on:

- Maintaining consistency
- Scaling processes
- Continuous improvement

18–29

Partial Control

There are gaps in structure, access, or governance that may create inefficiencies or risk.

Focus next on:

- Improving structure and consistency
- Strengthening access control
- Enhancing governance processes

0–17

Limited Control

You likely have limited control over your records and information, increasing risk and inefficiency.

Focus next on:

- Defining structure and ownership
- Improving access and visibility
- Reducing risk and improving compliance

Final Insight

Without strong control over records and information, organisations often face increased risk, inefficiency, and difficulty meeting compliance requirements.