

High-risk/high-value records and information

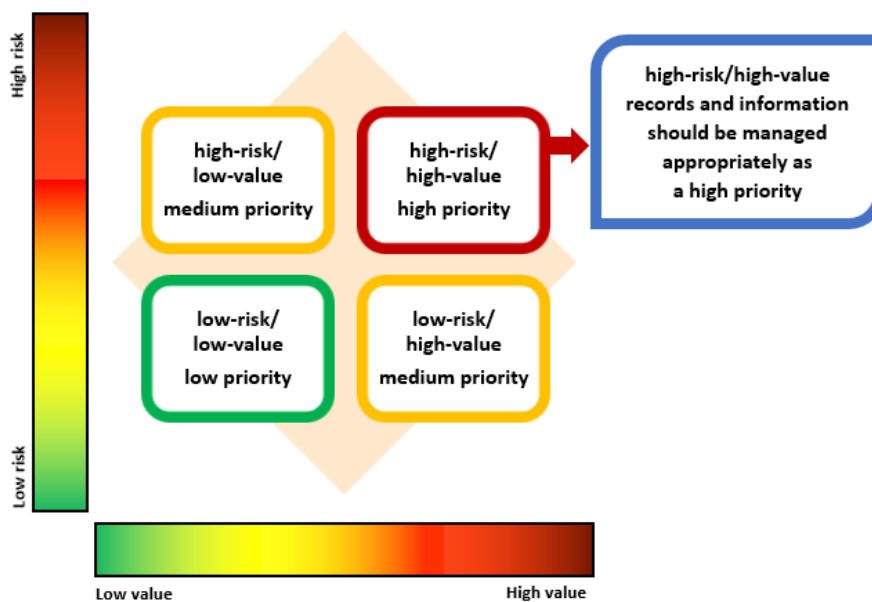
Defining high-risk/high-value records and information

High-risk and high-value records and information are essential to an organization carrying out core functions, making key decisions, and providing evidence of activities. Identifying these critical assets is dependent on the business context and is an important element of risk management for recordkeeping and other business continuity purposes.

High-risk/high-value functions include those that:

- protect the rights and entitlements of citizens
- document executive actions and decision-making
- perform direct activities that impact on individuals (e.g. health or welfare protection)
- manage natural resources or critical infrastructure
- collect and use sensitive personal information
- are subject to scrutiny by the public or oversight bodies
- allocate or spend large amounts of money
- demonstrate the performance of legislated functions
- require long-term retention of records and information
- are deemed to have continuing value and will form part of Manitoba's archival heritage, as unique and irreplaceable records of government and society

High-risk/high-value matrix¹



¹ *This infographic is based on the Public Records Office (Victoria, Australia) high risk / high value matrix, [High value, high risk records | PROV](#)

Identifying and documenting high-risk/high-value records and information

Identifying high-risk/high-value records and information is critical because these records pose a significant risk to the organization if they are misused; inappropriately captured, accessed or disclosed; altered; lost; or destroyed inadvertently or prematurely. There are several recordkeeping tools and processes that can be used to identify and document high-risk/high-value functions and the records and information that support them, including:

- [Approved Records Schedules](#) – define the long-term and archival value of records that support core functions and activities and assist in identifying the high-value records and information by both the department and the Archives of Manitoba, provided they are up to date.
- [Compass: Capacity Assessment Tool for Recordkeeping](#) – assists departments in assessing if they are meeting requirements of the Recordkeeping Framework (see below) and can aid in identifying and flagging risks. It is especially valuable for departments that do not have records and information management expertise.
- [Functional Analysis for Records](#) – a top-down analysis that outlines the high-level functions and activities of the organization and links them to the records that support those activities. Functional analysis provides the basis for understanding the organization’s records and identifying the requirements for managing them. It can be used for a variety of recordkeeping purposes including records scheduling, the development of file structures and classification systems, and is useful in other areas of management such as business planning and risk assessment.

Other assessments or audits may point to high-risk situations where the program area responsible will need to review their recordkeeping practices and identify additional measures to manage high-value records and information. Examples include Business Continuity Planning, Privacy Impact Assessments (PIAs), data classification reviews, information security audits, and Auditor General or Ombudsman’s audits/investigations.

Managing high-risk/high-value records and information

The [Recordkeeping Framework for Departments and Agencies: Policies and Requirements](#) strategically focuses on high-risk and high-value areas of government business. This is to ensure that resources are being invested in the most appropriate places and ways. It also ensures that the most critical records and information are managed as a priority. In turn, better management can increase the value of these assets.

The Recordkeeping Framework contains two minimum requirements about high-risk and high-value records and information:

- ❖ *High-risk/high-value areas of business and the records and information needed to support them must be identified. (requirement 2.2)*
- ❖ *Recordkeeping must be an essential consideration in design of all systems especially when systems are supporting high-risk/high-value records and information. (requirement 2.3)*

To mitigate risks to records and information, departments should work towards meeting the requirements of the Recordkeeping Framework. This begins with all employees understanding the importance of records as corporate assets and evidence.

Records and information risk management requirements need to be built into departmental planning processes and integrated into enterprise-wide risk management strategies. This will allow records management activities to be connected to specific business risks.

Other related guidance

[Managing Records to Mitigate Risk](#) for potential risks to records and information.

[Recordkeeping Systems](#) for further information about types of systems in the Manitoba government and their recordkeeping capabilities.

[Recordkeeping Standards](#) for further information about international standards on recordkeeping best practices.

References

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