



The National Archives

**Title** Information Management Assessment of [XX Organisation]  
Terms of Reference

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**Customer:** All organisations in the IMA programme

**The National Archives' leading and transforming information  
management across government.**

## **1 Objectives**

To provide independent validation of the standards and integrity of the information management processes within [X department] in order to meet their business objectives.

To clarify the relationship between The National Archives, Information Management Assessment Team and [X department] in conducting the on-site information management assessment (IMA).

## **2 Methodology**

### **Pre-Assessment**

- A pre-assessment risk questionnaire to be completed by [XXX] for analysis by The National Archives IMA Team four to six weeks prior to the on-site assessment.
- The National Archives IMA Team to evaluate and analyse the completed questionnaire to form the scope of the assessment.
- The National Archives IMA Team to review the relevant documentation relating to information management processes and procedures supplied by the organisation.
- A wider evaluation of risks not limited to but impacting on information and knowledge management for the organisation to feed into the scope of the assessment.

### **During the Assessment**

- Interviews with key personnel, including policy makers, managers, practitioners, FOI handlers, senior leaders and other relevant staff.
- A walk-through of the processes used by [XXX] to handle knowledge and information.
- Investigation of issues identified prior to and during the assessment.

## **3 Scope**

To verify the working practices and elicit documentary evidence of how [XXX] is managing its obligations for information management based on the risks identified at the preliminary investigation stage.

#### 4 Core Team

<b>Role within the Assessment Team</b>	<b>Name</b>	<b>Job Title</b>	<b>Organisation</b>
Team Lead	Doreen Charlton	Standards and Assessment Manager	The National Archives
Team Member	Dan Husbands	Standards Adviser	The National Archives
Team Member	XXXX	Information Management Consultant	The National Archives

#### 5 Deliverables

- 5.1 A final report on the current state of the management of information processes reviewed during the visit, based on the priority areas identified prior to the on-site assessment and subsequent on-site assessment.
- 5.2 The production of highlights of good practice and areas for improvement with subsequent appropriate recommendations where applicable.
- 5.3 The foundations for an action plan that [XXX] will be able to utilise to fulfil the recommendations as identified in the assessment.

#### 6 Timetable

##### Pre On-site visit.

- 6.1 The signed commitment to be published on departmental website at least 8 weeks prior to the programmed date of the on-site visit.
- 6.2 Preliminary meetings with departmental contacts will commence 6-8 weeks prior to the programmed date of the on-site visit.
- 6.3 The pre-assessment questionnaire will be sent to [XXX] at least 4-6 weeks prior to the programmed on-site visit date. To be completed within 2 weeks.

- 6.4 On receipt of the completed questionnaire The National Archives IMA Team will analyse the response to form the scope of the on-site assessment.
- 6.5 The scope (see appendix 1) and Terms of Reference agreed with [XXX] as soon as practicable prior to commencement of on-site visit.

#### Post On-site Visit

- 6.6 A draft of the findings will be available to [XXX] organisation to review for factual accuracy no later than four weeks after the on-site assessment and the supply of requested documents that could not be provided at the verification.
- 6.7 The final report on [XXX] IMA will be published on The National Archives website within 10 working days of agreement.
- 6.8 The National Archives' Chief Executive, Director of Information Policy and Services Directorate and IMA Assessment Team member will present findings to the Permanent Secretary/Executive Board Member or Accounting Officer within 3 months of the completion of IMA if so requested.
- 6.9 Organisations will be reviewed six months after accreditation. Organisation/departments will be expected to have developed an action plan and to show progress with the recommendations made.
- 6.10 There will be a continuous programme of six-monthly reviews of the Action Plan until completion of the plan or other appropriate deadline.
- 6.11 As a result of the six monthly reviews of the Action Plan, where deemed appropriate the SAM, relevant RCMD, Information Management Consultant in conjunction with the representative from [XXX], will recommend an on-site progress meeting 12-14 months after the initial assessment visit.
- 6.12 Thereafter, [XXX] will be incorporated into the ongoing IMA programme with a re-assessment visit scheduled for 3-5 years time.
- 6.13 In all other cases the Organisation or Department will have a revisit scheduled in the on-going IMA programme over the next 3-5 year period.

Appendix 1

Scope of Information Management Assessment of [XXX] dated July 2008

The scope of the above assessment is defined below.
