



The National Archives

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

Release Final
Version date: 15 April 2010

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Owner: Oliver Morley, Acting Chief Executive

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

Role within the Assessment Team	Name	Job Title	Organisation
Team Lead	Doreen Charlton	Standards and Assessment Manager	The National Archives
Team Member	Tom Wharton	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 XXX 2010

The scope of the above assessment is defined below.
