

**PRIORITY RECOMMENDATIONS**

**R1 BIS to elevate the profile of information risk in support of KIM strategy aims for the protection, management and exploitation of information.**

This would be supported by:

- Establishing policy on information risk. As with guidance for Information Asset Owners (IAOs) referenced below, this should be explicitly aligned with the KIM strategy goals.
- Ensuring information risks are documented corporately, such as risks resulting from a failure to manage information in accordance with its value, with clear escalation paths so that strategic impacts can be recognised. This work could draw on risks already defined within KIM policy and through the FIMS project together with those highlighted in the body of this report.
- Clearly establishing tolerances and appetites for information risk.

R1 Actions	Priority: High/Low / Medium	Owner	Due for completion	Status	Observations
<b>Action 1.1</b> Develop an Information Risk Policy to sit alongside the Knowledge and Information Strategy and refreshed Information Asset Register (IAR)	High	tbc			
<b>Action 1.2</b> On completion of the Information Asset Register (IAR) develop a SIRO Risk Register that works in line with Security Management Risk overview reporting.	High	tbc			
<b>Action 1.3</b> Issue a statement on information risk in BIS from the SIRO	Medium	SIRO working with others (tbc)			

**R2 BIS to ensure lessons are learned from the adoption of Matrix and use of alternative repositories and ensure requirements for the use and management of information remain at the heart of the FIMS project. These must inform decision making on configuration, implementation and contingency planning.**

## The Department for Business, Innovation and Skills IMA Action Plan

Key requirements in this regard include discovery, ease of use together with current strengths of the EDRMS such as access controls and lifecycle management. This would be supported by:

- Ensuring the risks of meeting and not meeting business requirements in practice are fully defined, and that the potentially significant impacts have visibility beyond the FIMS project.
- Close liaison with the business to identify key needs and help prioritise migration.
- Maintaining control and oversight of the technology environment as a whole following roll-out of new systems, particularly in terms of any necessary additional or alternative repositories.
- Mapping usage requirements of key information assets in line with The National Archives guidance.

R2 Actions	Priority: High/Low / Medium	Owner	Due for completion	Status	Observations
<b>Action 2.1</b> Ensure that the new ECM is configured in a way that meets all agreed business and statutory requirements	High	FIMS Project Team	December 2013	Closed	
<b>Action 2.2</b> Develop a Data Migration strategy that enables the business to identify and assess information of value to transfer to the new ECM. Secure support for approach and sign-off from the BIS Operations Committee.	High	Business Transition Team	November 2013	Closed	
<b>Action 2.3</b> Using a variety of channels (intranet, email, staff briefings etc) (i) communicate data cleansing and migration actions required of staff and (ii) monitor compliance by running reports on email inbox size and personal drive storage.	High	Ways of Working (WoW) Team	January 2014	Closed	
<b>Action 2.4</b> Once the new ECM has been rolled out monitor usage of ECM and alternative repositories as part of benefits work	Medium	KIM Team / WoW Team	May 2014 -		
<b>Action 2.5</b> Ensure all business requirement risks relating to the FIMS project are entered on the FIMS	High	FIMS Project Team	November 2013	Closed	

## The Department for Business, Innovation and Skills IMA Action Plan

	risk register and FLITE benefits register.					
R3	<p><b>BIS to produce a clear and detailed implementation plan for its KIM strategy to define how threats will be reduced, opportunities realised and outcomes delivered.</b></p> <p>This would be supported by:</p> <ul style="list-style-type: none"> <li>Aligning the work and deliverables of the KIM team and that of other stakeholders to strategy outcomes</li> <li>Developing a plan to promote and drive the adoption of new policy and guidance for information management during and following system roll-out.</li> <li>Directing policy and guidance towards cultural barriers to good practice and system usage such as perceived lack of time to capture information corporately.</li> <li>Identifying quantifiable performance indicators and success criteria, defining how these will be used to target risk areas and potential areas of good practice.</li> </ul>					
	<b>R3 Actions</b>	<b>Priority: High/Low / Medium</b>	<b>Owner</b>	<b>Due for completion</b>	<b>Status</b>	<b>Observations</b>
	<b>Action 3.1</b> Produce KIM Strategy implementation plan and review quarterly.	High	Head of KIM	Q2 2014 - 15		
	<b>Action 3.2</b> Taking into account the Target Operating model and KIM strategy, ensure the KIM team has an appropriate structure and skills base to become Centre of Excellence for KIM across BIS and its Partner Organisations.	Medium	Head of KIM	Q2 2014 - 15		
	<b>Action 3.3</b> Develop a Behavioural Change Strategy to address cultural barriers to good information and records management.	Medium	KIM Team	June 2014		
	<b>Action 3.4</b> Develop KIM KPIs and balance scorecard and monitor quarterly	Low	KIM Team	Q2 2014 - 15		
	<b>Action 3.5</b> Working with Partner Organisations develop an Information Management Maturity Model to assess	Medium	KIM Team	June 2014		Maturity model baselined and in pilot stage (May 2014)

## The Department for Business, Innovation and Skills IMA Action Plan

	and measure progress in business IM practices and behaviours					
	<b>Action 3.6</b> Set up extranet to facilitate electronic collaboration on KIM with stakeholders such as key staff in BIS Partner Organisations	Medium	KIM Team	December 2013	Closed	
<b>R4</b>	<p><b>BIS to support KIM strategy goals and vision through a consistent and mutually supportive suite of policy and guidance.</b></p> <p>To deliver maximum benefit, this policy and guidance should:</p> <ul style="list-style-type: none"> <li>Define how KIM strategy outcomes and vision enable the achievement of specific business objectives and BIS Values and Behaviours.</li> <li>Establish how individuals, the SIRO, deputy SIRO, IAOs and key KIM governance support KIM strategy outcomes.</li> <li>Be pragmatic, user focused, interrelated and clearly aligned to the technology and business environment.</li> </ul>					
	<b>R4 Actions</b>	<b>Priority: High/Low / Medium</b>	<b>Owner</b>	<b>Due for completion</b>	<b>Status</b>	<b>Observations</b>
	<b>Action 4.1</b> Carry out survey of existing KIM policies and guidance	Medium	KIM Team	Q2 2014 - 15		
	<b>Action 4.2</b> Working with Ways of Working Team and user groups, consult on, design and seek approval for new KIM Policies and Procedures	Medium	KIM Team	September 2014		
	<b>Action 4.3</b> see Action 3.1 (KIM Strategy implementation plan)	High	Head of KIM	Q2 2014 - 15		
	<b>Action 4.4</b> Review and redesign the intranet to facilitate access to KIM policies and guidance	Medium	Comms / KIM Team	Q2 2014 - 15		This will be within the constraints of the intranet re-design. KIM team do not have overall control of the
<b>R5</b>	<p><b>BIS to build on the foundations already in place for transparency and champion information and its management at Management Board level.</b></p> <p>This would be supported by:</p>					

## The Department for Business, Innovation and Skills IMA Action Plan

- Clear endorsement and support of the Board for the KIM strategy.
- Defined reporting requirements for the KIM strategy, including criteria for exception reporting, so the senior team can be kept informed of progress towards goals.
- Recognising the KIM team's role in establishing and ensuring the proper use of new systems.

R5 Actions	Priority: High/Low / Medium	Owner	Due for completion	Status	Observations
<b>Action 5.1</b> Secure Permanent Secretary and Operations Committee sign-off for the KIM Strategy	High	Head of KIM	January 2014	Closed	
<b>Action 5.2</b> See Action 3.1 (KIM Strategy implementation plan)	High	Head of KIM	Q2 2014 - 15		
<b>Action 5.3</b> See Action 3.2 (Centre of Excellence)	Medium	Head of KIM	Q2 2014 - 15		

## SECONDARY RECOMMENDATIONS

### R6 **BIS to engage with the business to produce guidance that supports staff to capture and manage information according to value.**

This should be embedded within new policy and guidance in support of KIM strategy aims. The success of this approach would be helped by:

- Engaging with business units to devise tailored solutions and buy-in of managers.
- Ensuring a clear message on what information is ephemeral and should be deleted.
- Defining the development and adoption of guidance as a risk reduction activity.
- Defining routine capture points for corporate information in support of the KIM strategy aim 'KIM is not an added task, it is how we work', and establishing clear rules around file closure to support routine disposal.

R6 Actions	Priority:	Owner	Due for	Status	Observations
------------	-----------	-------	---------	--------	--------------

## The Department for Business, Innovation and Skills IMA Action Plan

		High/Low / Medium		completion		
	<b>Action 6.1</b> See Action 4.1 (review policies and procedures)	Medium	KIM Team	Q2 2014 - 15		
	<b>Action 6.2</b> See Action 4.2 (re-issue policies and procedures) including <i>What to keep</i> guidance and retention and disposal policies	Medium	KIM Team	September 2014		
	<b>Action 6.3</b> Embed new Government Classification Scheme across the department	High	KIM Team	January – June 2014		
	<b>Action 6.4</b> See Action 3.3 (Behavioural change)	Medium	KIM Team	June 2014		
	<b>Action 6.5</b> KIM Partners to embed in business units to provide expertise and support the KIM agenda	Medium	KIM Team	Ongoing	Ongoing	
<b>R7</b>	<p><b>BIS to ensure clear planning and defined decisions around migration of digital information from shared drives and Matrix in accordance with value.</b></p> <p>This should include:</p> <ul style="list-style-type: none"> <li>Defining how technology supports the ‘usability’ of core information assets.</li> <li>Establishing how Electronic Records Appraisal project outcomes will be preserved throughout the migration process. In particular, explicit reference should be made to digital information already highlighted as having historic value, and action taken to preserve the accessibility and context of such records.</li> <li>Planning to test for complete transfer of context and metadata.</li> </ul>					
	R7 Actions	Priority: High/Low / Medium	Owner	Due for completion	Status	Observations
	<b>Action 7.1</b> See Action 2.2 (Data migration strategy)	High	Business Transition Team	November 2013	Closed	
	<b>Action 7.2</b> See Action 2.3 (Data migration comms)	High	Ways of Working Team	December 2013	Closed	

## The Department for Business, Innovation and Skills IMA Action Plan

	<b>Action 7.3</b> See Action 2.1 (ECM configuration)	High	FIMS Project Team	December 2013	Closed	
	<b>Action 7.4</b> Ensure that robust UAT is carried out to preserve the authenticity and accuracy of content and metadata migrated to the ECM	High	FIMS Project Team	February - April 2014	Closed	
<b>R8</b>	<p><b>BIS to gain greater control and oversight of the shared drives and information they contain as it work to replace Matrix and roll out its new technology environment.</b></p> <p>This would be supported by:</p> <ul style="list-style-type: none"> <li>Formally defining the risks raised by storing information within an unstructured and uncontrolled environment.</li> <li>An enforceable policy statement on provision of shared drives and clear guidance on their use where this needs to continue.</li> <li>Guidance on the discovery of information for business and Freedom of Information Act (FoIA) purposes across multiple repositories ahead of, during and following the introduction of the FIMS solution.</li> </ul>					
	<b>R8 Actions</b>	<b>Priority: High/Low / Medium</b>	<b>Owner</b>	<b>Due for completion</b>	<b>Status</b>	<b>Observations</b>
	<b>Action 8.1</b> See Action 1.2 (risk register)					
	<b>Action 8.2</b> See Action 2.2 (Data migration strategy)	High	Business Transition Team	November 2013	Closed	
	<b>Action 8.3</b> FoI and DPA messages are contained within the migration and rollout comms, and reinforced in the training for the new ECM.	Medium	FIMS Project Team (in conjunction with IRU)	April 2014	Closed	
<b>R9</b>	<p><b>BIS to develop its information asset management approach in line with KIM strategy goals, with the support of The National Archives.</b></p> <p>This requires:</p> <ul style="list-style-type: none"> <li>Clarity on the delivery of the information asset definition. BIS needs to be clear on type and level of information asset to be captured and focus on maintaining a manageable Information Asset Register by, for example, splitting it by directorate.</li> </ul>					

## The Department for Business, Innovation and Skills IMA Action Plan

- Clear definitions in relation to value, quality and usability and clear reporting requirements.
- A review of guidance to ensure it supports effective delegation of risk from the SIRO and reflects goals for the protection, management, exploitation and re-use of information assets. Guidance should be explicitly aligned with the KIM strategy.

R9 Actions	Priority: High/Low / Medium	Owner	Due for completion	Status	Observations
<b>Action 9.1</b> IAR to be sent to TNA for comment	Medium	KIM Team	October 2013	Closed	
<b>Action 9.2</b> Ensure that IAR aligns with BIS dataset inventory and published datasets on data.gov.	Medium	KIM Team	Q2 2014 - 15		
<b>Action 9.3</b> See Action 4.2 (policies and guidance)	Medium	KIM Team	September 2014		
<b>Action 9.4</b> IAR review and update processes to be formalised	Low	KIM Team	June 2014		

### R10 **BIS to reinforce governance structures for information support roles to ensure they can drive good practice in accordance with information policy and KIM strategy aims.**

To support this, BIS should:

- Define reporting requirements for Information Support Officers (ISOs) to promote policy and good practice.
- Consider how existing support roles, together with existing project and programme governance structures, can be used to best effect to support implementation of the KIM strategy before, during and after systems and infrastructure changes.

R10 Actions	Priority: High/Low / Medium	Owner	Due for completion	Status	Observations
<b>Action 10.1</b> Carry out review role of Information Support Officer and role of ICT super-user	Low	KIM Team	September 2014		
<b>Action 10.2</b> Develop a BIS Knowledge Council to be headed by SCS Knowledge Champion	Low	KIM Team	September 2014		
<b>Action 10.3</b> Refresh guidance for specialist users to reflect changes in the role	Low	KIM Team	September 2014		



## The Department for Business, Innovation and Skills IMA Action Plan

<b>R11</b>	<b>BIS to develop a clear plan for the management and review of paper files to ensure the best use of review team resources and limited available space.</b>				
	This should include:				
	<ul style="list-style-type: none"> <li>• Documenting the file transfer process to support clear communication of roles and responsibilities.</li> <li>• To meet legislative compliance and best practice, BIS should investigate and develop the process for transferring digital information of historic value to The National Archives. This should include a methodology for adapting current sensitivity review methodology to digital records.</li> </ul>				
	Actions	Priority: High/Low / Medium	Owner	Due for completion	Status
<b>Action 11.1</b> Revisit the ERA (Electronic Records Appraisal) process and, once records are on the ECM, re-start the transfer of electronic material.	Medium	KIM Team	June 2014 -		
<b>Action 11.2</b> Produce documentation of the file transfer process	Low	KIM Team	June 2014		