












Department for International Development (DFID) Information Management Assessment (IMA) 2017/18 Action plan

1	Develop clear objectives for information management governance and practice within the department's new IT environment.
We are revising our information strategies, governance, policies and practice in association with the introduction of new information systems and tools.	
Commentary last updated: November 2017	

Enabling/supporting actions	Owner	Commentary on progress	Completion due	Status
1.1 Update DFID's Information Strategy	KIM Team CIO	Strategy is being updated	Dec 2017	 Green
1.2 Expand scope and remit of Information Security Management Group and identify senior champion	KIM Team IA Team CIO	Drafted Terms of Reference and discussing composition of wider Information Management Group	March 2018	 Green
1.3 Update DFID's Records Management Policy and formalise role of the business	KIM Team	Updates made to Blue Book content for input to new Corporate Rules	Nov 2017	 Green
1.4 Define role of Knowledge and Information Management Team in guiding and monitoring the way information and records are managed	KIM Team	Central quality control and monitoring processes are being planned as part of new KIM team roles	Ongoing	 Green
1.5 Widen DFID's Information risk policy and practice to Include broader risks around using evidence and exploiting our information and feed these into the Corporate risk register	KIM Team IA Team	Risks associated with information management and exploitation will be addressed as part of the new Corporate Rules. Key risks have been included in the BSD Risk Log and will be fed into the Information and Corporate Risk Register	Ongoing	 Green
1.6 Ensure that the requirements of good information and records management are built into the introduction of Office 365 facilities across DFID	KIM Team IA Team O365 Team	Continuing to learn and adopt best practice from other Government Departments and feed this into the development of a new O365 IM policy	March 2018	 Green





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2	Gain a better understanding of the information assets held and the means by which these are managed, enabling effective oversight and control.
We are assessing ways of making our Information Asset Register process more effective and taking part in the cross-Government KIM Information Asset Register Working Group.	
Commentary last updated: November 2017	




Enabling/supporting actions	Owner	Commentary on progress	Completion due	Status
2.1 Improve DFID's Information Asset Register process so that it helps us exploit our information and manage the risks	IA Team CIO	Revisiting previous proposals for widening coverage of IAR and improving its ability to help us manage different types of information risk, including those under the new General Data Protection Regulation (GDPR)	May 2018	 Green
2.2 Review the role of Information Asset Owners in DFID and provide them with clear guidance on their responsibilities	IA Team CIO	Revisiting ideas on how to make IAO role more effective including through better guidance and support, as part of discussions on new Information Management Group.	June 2018	 Green
2.3 Revisit TNA guidance on managing information assets and consult with colleagues from other Government Departments	KIM Team IA Team	Guidance has been reviewed and we are taking part in KIM IAR Task and Finish Group discussions involving other Departments, including DWP	Ongoing	 Green
2.4 Review any records of value that may be held outside the corporate EDRM and identify any that should be moved into Vault	KIM Team	Undertake a review to identify and rationalise information repositories outside the EDRM	Ongoing	 Green
2.5 Agree and publish new retention schedules, update current guidance and feed into Information Asset Register	KIM Team	Work is under way on new schedules for inclusion in IAR	March 2018	 Green

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3	Ensure that good information management processes are built into Vault.
We are continuing to develop ways of exploiting the Vault tools to help staff work more effectively and enable DFID to meet legislative requirements.	
Commentary last updated: November 2017	






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3.1 Establish procedures to close folders in Vault prior to review, disposal or transfer to TNA	KIM Team	Agreed. We will create and establish procedures that are controlled by agreed records retention policies to review, dispose or transfer Vault content to the TNA.	Ongoing	 Green
3.2 Implement retention schedules for “cold” records that have been transferred from Quest into Vault but have no ongoing business need	KIM Team	All migrated content from Quest (DFID’s previous EDRM) has retention schedules applied and we plan to proactively enforce these schedules for content that has no ongoing business need.	Ongoing	 Green
3.3 Identify ways of restricting how individuals store information on their personal drives and encouraging them to move information into Vault	KIM Team	DFID wish to exploit opportunities that exist with the introduction of Vault and O365 to promote and enforce new policies that encourage staff “by default” to save to Vault. We are actively exploring the concept of preventing users from saving to their personal drives, as well as launching a series of training courses enabling staff to maximise the benefit of Vault.	March 2018	 Green
3.4 Develop process for quality assuring the file structures and access permissions allocated by business owners	KIM Team	DFID believe Quality Assurance (QA) is going to play an integral role in ensuring we manage our information well and for the continued success of Vault. We intend to devise a	March 2018	 Green

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		comprehensive QA regime that is delivered and managed by the KIM team that reviews and advises departments of their Information Management responsibilities, including reviewing Vault file structures and security models and RFI compliance, Spot checks on sensitive information are in place.		
3.5 Consider whether some form of training in Vault should be compulsory for all users	KIM Team	DFID intend to offer a comprehensive series of training courses which staff will be able to attend, supplemented by self-service guidance material and a centralised support desk.	Dec 2017	
3.6 Provide case studies around effective use of Vault that demonstrate how to comply with requirements as well as the benefits to the individual from using the system correctly	KIM Team	We intend to continue focusing on change management activities, including case studies where appropriate.	Ongoing	
3.7 Develop improved processes for handovers so that line managers ensure that new staff are aware of key Vault folders and usage of other IM systems	KIM Team	The KIM team are actively engaged and contributing to improving the induction process, raising awareness of good information management principles and the effective use of DFID systems.	Ongoing	

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4	Define how good information and records management will be championed and embedded across the business
We are assessing ways of encouraging senior and local level championing of good information and records management in DFID with the aim of embedding good performance across the Department.	
Commentary last updated: November 2017	




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4.1 Identify senior sponsor and develop network of senior information asset owners to champion good practice, learning from experiences of other Government Departments	IA Team CIO KIM Team	Under discussion as part of TOR for new Information Management Group, taking into account examples from cross Government Behavioural insights toolkit e.g. from HM Treasury	June 2018	
4.2 Set up a TNA Board level briefing for the DFID Executive Management Committee to follow up on that undertaken in June 2014	KIM Team CIO	Review once new Information Management Group has been set up.	2018	
4.3 Develop process for monitoring and following up on the performance of individuals and teams in saving records of value including emails to Vault	KIM Team	KIM Team will use Vault reports and a Management Information dashboard for monitoring usage and compliance.	Jan 2018	
4.4 Review Directors Statement of Assurance process and other ways of ensuring more effective monitoring, benchmarking and improving performance across the business	KIM Team	We intend to incorporate an element of the new QA process into the Annual Directors Statement of Assurance in order to provide effective monitoring and benchmarking.	2018	
4.5 Consider ways of nurturing an informal network of Vault local enthusiasts ready to support the sharing of good practice and tips	KIM Team	KIM team are reviewing where local champions are emerging and how the Digital Ninja network supports digital working e.g. use	Ongoing	

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		of Yammer, mentoring scheme		
4.6 Develop improved processes for searching for information across DFID resources and systems including Vault	KIM Team MI Team	We recognise and accept the long-term need for an Enterprise search solution and additional resources are in place to actively explore this. Additionally, we intend to focus on improving and exploiting current system offerings, as well as offering training sessions to ensure staff maximise their potential.	Ongoing	 Green
4.7 Review Internal Audit involvement e.g. do they review records management/use of Vault/Quest as part of their activities, they could report any issues to DRO	KIM Team	The KIM team have approached Internal Audit with a view to ensuring the DRO is made aware when audits report poor records management practices	Dec 2017	 Green

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5	Review what training related to information management is essential for staff to undertake. Once DFID has identified what training is essential it should take steps to make that training mandatory and consider how it will ensure that this is enforced.
We are contributing to the development of a new DFID induction process that will incorporate training related to information management and Vault and mandate completion of the “Responsible for Information” eLearning course from Civil Service Learning.	
Commentary last updated: November 2017	

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5.1 Promote understanding of individual information management responsibilities through the corporate and departmental induction process	KIM Team	Agreed. The KIM team are actively engaged in ensuring Information Management is addressed as part of the induction process.	Ongoing	 Green
5.2 Develop improved programme of personal coaching, induction and refresher training on how/when to use Vault and when to use other IT tools, including Office 365 when it comes	KIM Team	Planned Vault induction training pack and introductory sessions could be extended to cover good practice in managing information and this should be covered as part of Office 365 project.	Ongoing	 Green
5.3 Implement mandatory completion of Responsible for Information eLearning course from Civil Service Learning,	IA Team KIM Team	Within DFID all new starters are mandated to complete the RFI course and as part of the new QA process we plan to measure compliance with this initiative.	Dec 2017	 Green

6	Develop a forward plan for the appraisal and selection of records, and their subsequent transfer to The National Archives.
We are documenting our current appraisal and selection processes as part of plans to allocate additional resources to help achieve our selection and appraisal targets for both digital and paper records.	
Commentary last updated: November 2017	

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6.1 Document selection criteria and macro approaches for appraisal and selection of DFID's records	KIM Team	Updated guidance to support this process as well as exploring and identifying new macro selection approaches will be used in order improve and streamline this process.	March 2018	
6.2 Develop an approach to the appraisal and sensitivity review of digital records	KIM Team	DFID will continue to work and feed into cross government working groups and look forward to streamlining the current manual process based on any recommendations or central directives.	2018	
6.3 Assess option of using third party contractors for the cataloguing of records for transfer to TNA and triage around the appraisal of records	KIM Team	We are reviewing opportunities that exist within current commercial frameworks and examples of best practice from other Government Departments.	March 2018	
6.4 Identify additional resources to support the records appraisal and selection process and arrange effective knowledge transfer	KIM Team	KIM team resource constraints continue to be challenging, nevertheless succession plans are now in place ensuring a level of continuity within the team	Ongoing	