

# The National Archives Information Management Assessment Programme

## Action Plan

#	Recommendation	Actions	Priority High/Low/ Medium	Timescale	Owner	Observations	Delivered Yes/No
1	The National Archives should conduct a review of the KIM programme by December 2011 to assess the impact and effectiveness in meeting its aims.	Action 1.1: KIM team to undertake review, with input from IMC/Strategic Projects/Internal Audit, on the basis of agreed KPIs	High	January 12	SL	KIM balanced scorecard for programme to date developed; agreement to present jointly to exec team with IA to show how the corporate risks across 'confidentiality, integrity and availability' are being addressed. Balanced scorecard includes KIM corporate outputs (compliance and information sharing & exploitation) and KIM support for specific business plan projects and themes.	Yes
		Action 1.2: New metrics to assess KIM programme going forward. To include more use of business data analysis in key corporate systems like Objective and Narnia.	High	January 12	SL	Objective statistical analysis developed and on Narnia; KIM team researching visualisation tools to help present big data, as part of sensitivity review project. KIM also discussing with ICT the potential need for additional data analysis software or development of sequel reporting services, to provide better business data analysis.	Underway
		Action 1.3: Statistical analysis of retentions schedules in Objective to give new business analysis insight	High	March 12	All	All retention schedules applied to 2003-2008 Objective file plan (18,500 files). Analysis underway. (Retention plan for 2003-2008 file plan agreed with SIRO)	Underway
2	The National Archives should reassess the format and frequency by which KIM and IA/IS progress is reported to the Board to ensure organisational commitment and visibility of the programme.	Action 2.1: Agree with SIRO and schedule first report to Exec Team	High	January 12	SL	First progress report to Exec Team was postponed. Still awaiting joint presentation with IA. Will seek agreement from Exec team to frequency of updates when first report is given	
		Action 2.2: Further integration of KIM with IA function	High	March 12	SL	KIM/IA jointly presenting to IAOs on risks; agreement on joint approach to risk management via directorate risk register	Yes
		Action 2.3: KIM input into IA training programme across Whitehall	High	December 11	SL	KIM leading on IM aspects of training – e.g. major input into CSL's new 'Protecting Information level 1' on-line training and leading on scenario workshops with face to face SIRO training	Yes

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4	The National Archives should consider how and when information management is represented at the IS/IT Strategic Oversight Board.	Action 4.1: Agreement that KIM is represented on the IT strategy group and has ad hoc engagement with the Board as necessary	High	September 11	SL	First IT strategy group meeting in December; Head of KIM now on IT Strategy Review panel (and lead on user engagement and information management themes)	Yes
8	The National Archives to clarify appropriate use of "corporate value" as well as identify and introduce a method, such as web based tools and shared workplaces, to publicise short cuts and corporate system key tips.	Action 8.1: KIM team to implement monthly 'top tips' including guidance on corporate value	High	September 11	MA	'Top Tips' launched in September: series of short, single-issue briefings on Narnia and based on user feedback from KIM consultations with business teams. Includes guidance on corporate value.	Yes
		Action 8.2: Narnia refresh to incorporate better integration with Objective and Objective guidance	High	Awaiting Narnia project	SL	KIM team will ensure that Narnia refresh project includes better and more prominent access to Objective and Objective corporate guidance	
10	The National Archives should adopt a clear project with a set deadline to identify those documents that do not have an owner or responsible department and ensure that such documents are recorded within the Information Asset Profile.	Action 10.1: KIM team to consult ICT about the best way of doing this in the shared drives and then launch project; include DROID use	High	February 12	KJ	Planning started and initial discussions with ICT held; ICT producing mapping report in April, following which KIM will go out to business asking for ownership to be declared	
		Action 10.2: KIM team to co-ordinate with project to identify image ownership in shared drives etc	High	May 12	SL	CBD Project to further clarify ownership and commercial value of images held in TNA business systems; agreement to co-ordinate with KIM team on 10:1, and to add the eventual information to the WTK schedules	
		Action 10.3: KIM team to co-ordinate with IA project to identify risks to management of incoming data from government	High	June 12	SL	KIM have agreed with IA team that the data risk review of incoming government data should require asset owners to catalogue these assets in the WTK schedules	
18	Capacity management and planning should form a significant part of the IT Strategy recommended by this assessment report.	Action 18.1: ICT to confirm this is being done	High	September 11	MA	Capacity management is now part of the ICT strategy and a key element of forward ICT planning, where KIM is playing a role	Yes

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23	The National Archives should provide clear policy and guidance on access to information in the personal areas of corporate systems for leavers.	Action 23.1: KIM team to agree and publish policy; consider enforcement via IAOs	High	December 11	SL	Done (KIM are also promulgating good practice on helping to protect the personal information of others where this is discovered unprotected)	Yes
3	The National Archives to review the benefits of wider input from across the whole business on assurance for information security and management.	Action 3.1: KIM team to discuss with IA team and agree action with SIRO	Medium-low	December 11	SL	KIM is now properly represented on the DSC, where IA/IS is discussed with a wide input from across TNA including all directorates.	Yes
5	The KIM team should ensure that ongoing communication is maintained to raise and sustain awareness of the KIM specific roles, responsibilities and the programme to all staff.	Action 5.1: KIM team to devise follow-on training/guidance for IAOs post-September reports to DSC	Medium-low	November 11	SL	Follow-on guidance and briefing sessions completed for all IAOs and IAMs.	Yes
6	The National Archives should revise its corporate and departmental risk registers to include appropriate KIM impacts such as the Information Asset Profile and revised responsibilities for IAOs.	Action 6.1: KIM to include KIM risks in departmental register and amend strategic risk register	Medium-low	October 11	SL	Technology Directorate risk register, and strategic risk register, amended, and mitigating KIM actions are now properly represented	Yes
7	The KIM team should ensure that the WTK schedules are updated and maintained.	Action 7.1: Requirement for IAOs to confirm biannually that their WTK schedules are up to date; support to IAMs; template for WTK schedule changes	Medium-low	Ongoing	KJ	All WTK schedules confirmed up to date in November IAO reporting to SIRO; IAOs have been tasked with further development of WTK schedules including technical characteristics. Further expansion of WTK schedules expected when shared drive ownership has been properly mapped.	Yes

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9	The KIM team should set out how and when documents should be added to Objective as part of the WTK guidance.	Action 9.1: KIM team develop guidance to add to IM WTK policy page on Narnia	Medium-low	December 11	KJ	New guidance added - awaiting shared drives project to complete. Recent comprehensive trawl of file plan suggests good practice is being maintained	
11	The National Archives should assess the business case for improved search technology for use across the department.	Action 11.1: KIM team to assess the case for Objective 8.1; to agree with ICT on case for upgrading Narnia search	Medium-low	February 12	MA	Objective 8.1 agreed and funded; Objective search investigated; 7.5 deemed best. Workshop with Objective Corp in April to explore future search requirements. Narnia work not yet started.	
12	The KIM team to ensure that the IAMs are able to monitor and control the naming of folders and files locally to promote best practice.	Action 12.1: KIM team to provide guidance for IAM page on Narnia	Medium-low	December 11	KJ	IAMs briefed at March training meeting and feedback sought. Information on file naming in corporate records keeping manual on Narnia. Recent comprehensive trawl of file plan suggests general good practice in file naming	
		Action 12.2: KIM team to require IAMs to close files in Objective so that disposal schedules can be activated	Medium-low	March 12	KJ	IAMs briefed at March training session to close files. Monitoring will be done via IAO compliance statements.	
13	The KIM team should review the Information and Records Management policies to ensure they reference records irrespective of medium and reflects current practice.	Action 13.1: KIM team to redraft appropriate KIM pages on Narnia	Medium-low	December 11	SL	Done	Yes
		Action 13.2: KIM team to prioritise proper management of corporate paper files still in departments	Medium-low	March 12	KJ	Over 5000 paper files identified in departments and management programmes agreed or files transferred to file store. Over 3000 redundant files destroyed.	Yes
14	The National Archives should consider how it can monitor or be alerted to large-scale movement of emails into Objective.	Action 14.1: KIM team to monitor Objective stats and produce regular reports	Medium-low	Ongoing	MA	Total email volume is monitored monthly.	Yes
		Action 14.2: KIM team to manage down very large email inboxes	Medium-low	Ongoing	MA	KIM team providing help and guidance to top 20 email inbox owners; considering further inbox management quotas.	

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15	Managers should ensure that staff use corporate systems as appropriate and that core business information is stored and accessible.	Action 15.1: KIM team to redraft IM resource page on Narnia and task IAOs	Medium-low	December 11	KJ	done (ongoing monitoring via IAO reporting: risks being managed)	Yes
		Action 15.2: KIM team to take over policy lead on CRM system from IPS business support, and to take over Narnia and Outlook training from Internal Comms	Medium-low	May 12	SL	KIM team to integrate CRM, Narnia and Outlook training into general KIM training for new entrants	
16	The KIM team to provide an explicit statement that they are owners of Digital Continuity for The National Archives.	Action 16.1: KIM team to publish this on Narnia	Medium-low	September 11	SL	Done	Yes
17	The National Archives to use the Digital Continuity guidance to ensure its Information Asset Profile follows best practice and includes technical information.	Action 17.1: KIM team to populate WTK spreadsheets in IAP with technical details	Medium-low	Ongoing	KJ	Technical fields added to IAP; to be further populated by IAMS and as shared drives information assets are added; IAOs tasked	
19	The National Archives should ensure that there is a clear process to cover receipt of digital information until placed within the archive.	Action 19.1: KIM team to map current processes and data owners, then apply IAO responsibility for agreed procedures. Related to recommendation 10	Medium-low	April 12	SL	Underway; included in IAO briefing and specialist training for Digital Preservation; agreement with IA team that their data risk review recommendations on incoming digital information from government will include requirement for clear cataloguing and ownership via the WTK schedules	
20	The National Archives to ensure responsibility for material within the Tape Archive is defined, assigned and publicised within the relevant teams.	Action 20.1: KIM team to map current processes and data owners, then apply IAO responsibility for agreed procedures. Related to recommendation 10 and 19.1	Medium-low	February 12	SL	Underway; included in IAO briefing and specialist training for Digital Preservation; agreement with IA team that their data risk review recommendations on pre-ingest digital information from government will include requirement for clear cataloguing and ownership via the WTK schedules	

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21	The National Archives should ensure KIM staff and appropriate information management specialists are included in risk and impact assessments when assessing changes.	Action 21.1: discuss with ICT and agree way forward	Medium-low	October 11	MA	Head of KIM participates in weekly ICT senior staff meetings; Information Manager participates in Technical Governance Board.	Yes
22	The National Archives should consider the provision of data protection refresher training.	Action 22.1: this has been subsumed into GSI refresher training	Medium-low	December 11	KJ	GSI on-line refresher training launched and completed by all staff by end-march. New CSL 'protecting information level 1' training package, which includes DPA aspects, substantially contributed to by KIM team.	Yes
		Action 22.2: KIM team to review FOI/DPA/IM training structure with DPA and FOIA leads	Medium-low	April 12	SL	Not yet started	
24	The National Archives to consult available stakeholder groups to assess the validity and relevance of the information available for re-use, to better inform future releases.	Action 24.1: discuss with data lead and web team to agree way forward	Medium-low	October	SL	There are several opportunities for users to comment on our web-based information products. Web team currently doing further analysis of customer feedback requirements.	
25	The National Archives to develop an audit process for monitoring access to corporate systems.	Action 25.1: implement access audit for shared drives after implementing recommendation 10.	Medium-low	February 12	MA	Not yet started	
		Action 25.2: review group access in Objective and revise guidance to IAOs	Medium-low	February 12	MA	Objective groups rationalised and tidied Dec 2011	Yes
26	The KIM team should assess how the IAOs and IAMs could take responsibility for team areas on Narnia.	Action 26.1: To take forward under new Narnia project	Medium-low	February 12	MA	New Narnia project to start in April 2012: KIM team to ensure this aspect is covered	

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27	The KIM team to coordinate a project to review Narnia long-term.	Action 27.1: To take forward under new Narnia project	Medium-low	February 12	MA	New Narnia project to start in April 2012	
28	The National Archives should prioritise IAM and IAO training to enable the post holders to fulfil their responsibilities and act as advocates to support the KIM programme.	Action 28.1: implement further IAO and IAM training/guidance round after September reporting to DSC	Medium-low	February 12	SL	Done.	
29	KIM communications should be developed with the internal communications team, utilising the available communication and information channels, such as Narnia news stories and the digital Talk magazine.	Action 29.1: review communications effort with M&C	Medium-low	ongoing	MA	Next major internal communications planned around Objective upgrade	
30	The KIM team should review how knowledge transfer has developed within The National Archives and provide access to good practice examples within the department so it can be shared.	Action 30.1: review leavers programme and reissue revised guidance; consider also as part of Narnia project	Medium-low	February	SL	Knowledge centre to be developed as part of Narnia upgrade project, including knowledge transfer good practice	

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