

Assessment Category	Rating	Recommendation	MHRA Response	Proposed Action plan
Appraisal, selection and sensitivity review process	Priority risk area	Develop and publish a methodology for appraising and selecting public records in consultation with TNA (R1)	Recommendation accepted. Action plan will be monitored for progress	<ol style="list-style-type: none"> <li>1. Put in formal application to Advisory Council to over-retain.</li> <li>2. Gather Stakeholder feedback on appraisal policy</li> <li>3. Consult with TNA on appraisal policy</li> <li>4. Set up SharePoint to enable electronic records to be selected</li> <li>5. Move appraisal and selection to become BAU</li> <li>6. Publish appraisal policy on MHRA site</li> <li>7. Update IAR and RRS to reflect appraisal decisions</li> </ol>
		Establish a process for sensitivity reviewing paper and digital records prior to transfer to TNA (R2)	Recommendation accepted. Action plan will be monitored for progress	<ol style="list-style-type: none"> <li>1. Conduct pilot project</li> <li>2. Assess resources needed and whether methodology works</li> <li>3. Finalise approach for paper records</li> <li>4. Assess potential methodologies for digital records</li> <li>5. Test preferred methodology</li> <li>6. Dependent on test outcome put steps in place to enable review</li> </ol>
Transfer to TNA	Priority risk area	Put in place resource to enable the DKIM team to take over the management of the paper storage contract and begin transferring records (R3)	Recommendation accepted. Action plan will be monitored for progress	<ol style="list-style-type: none"> <li>1. KIM to discuss budget and resourcing requirements with Policy.</li> <li>2. KIM recruit resource</li> <li>3. KIM get training from Policy on IM connect, archiving procedure</li> <li>4. Budget transferred; contractual responsibility transferred</li> </ol>
Controlling and exploiting legacy information	Development Area		Recommendation accepted. Action plan will be monitored for progress	

		<p>Ensure KIM team are resourced to play an active role in procurement of new systems (R8)</p>	<p><b>Procurement:</b> A piece of work planned for 2020/21 will look at supplier assurance as part of information security and data protection improvements. We will expand this activity to ensure that information and records management requirements are included in this activity.</p> <p><b>System Design:</b> DKIM team are already involved in the design and development of new systems, however, the IMA recognised that the pace of change, and complexity of systems makes it challenging for the team to ensure that they are able to spend sufficient time working with colleagues</p>	<p><b>Procurement</b></p> <ol style="list-style-type: none"> <li>1. Develop due diligence checklist with SCM and Finance as part of a review of supplier assurance in the agency.</li> <li>2. Put in process for risk assessing and reviewing procurement</li> </ol> <p><b>System design</b></p> <ol style="list-style-type: none"> <li>1. Put in place time to allow DKIM team to fully review project briefs, business cases, and designs to ensure that retention and information architecture is considered from earliest point.</li> <li>2. Develop information standards that project design must adhere to.</li> <li>3. Ensure that projects relating to systems migration cannot be signed off without the migration and retention having been considered.</li> </ol>
<p><b>IT systems and tools</b></p>	<p>Development Area</p>	<p>Make improvements to SharePoint online, ensuring information management functionality is rolled out across SharePoint online and users are aware of any actions they need to take (R7)</p>	<p>Recommendation accepted. Action plan will be monitored for progress</p>	<ol style="list-style-type: none"> <li>1. Develop a programme of work (Digital Workplace 3) to ensure maximum benefits is made of Office365 platform including SharePoint Online.</li> <li>2. Complete roll-out of records management functionality.</li> <li>3. Investigate whether new functionality within O365 could provide cheaper and easier long-term solution for records management.</li> <li>4. Ensure that users understand information management functionality in SharePoint, through development of content owner role.</li> <li>5. Carry out user research to identify barriers to using SharePoint Online for information management and what functionality they would like to use</li> <li>6. Review the way access and permissions are managed in SharePoint Online.</li> </ol>

				7. Review how content types are used and look at alternatives
<b>Control and Oversight of Current Practice</b>		Improve training offer by making specific IM training available to staff at induction and providing additional training for those in IAO/Information Custodian and Site Content Owner roles (R9)	Recommendation accepted. Action plan will be monitored for progress	<ol style="list-style-type: none"> <li>1. Information governance and Digital Workplace training to be rolled out to new starters.</li> <li>2. Promote Knowledge Hub and existing training resources. Develop videos and online training.</li> <li>3. Refresh role-specific training and advertise more widely, including specific training for Information Asset Owners, Information Custodians and Content Owners.</li> <li>4. Consider re-running DWP training for new starters</li> </ol>
<b>Monitoring Performance</b>	<b>Development Area</b>	Further develop the yearly Information Assurance reporting process and consider expanding the role of the Information Custodians to aid monitoring of compliance with information management best practice (R5)	Recommendation accepted. Action plan will be monitored for progress	<ol style="list-style-type: none"> <li>1. KIM team will develop baselines each division and make recommendations for improvements, as part of the annual assurance process in 2019/20. Once baseline is established, a mini-IMA for each division will be development, to provide individual actions plans and this will feed into the yearly reporting process</li> <li>2. Review of Information Custodians will be carried out, the role will be strengthened and a recruitment drive for Information Custodians will take place. The role of Content Owner will be strengthened to support Information Custodians specifically on SharePoint Online.</li> </ol>
<b>Control and Oversight of Current Practice</b>		Improve communications and distribution of resources between the central DKIM	Recommendation accepted. Action plan will be monitored for progress	<ol style="list-style-type: none"> <li>1. DKIM team to work with NIBSC and CPRD IAOs to look at specific requirements and how these can be addressed</li> </ol>

		team and information governance roles in NIBSC and CPRD (R4)		
<b>Policy and guidance</b>	<b>Approaching satisfactory</b>	Finalise and sign off IM strategy (R6)	Recommendation accepted. Action plan will be monitored for progress	1. Put together a strategy and roadmap for developing IM within the Agency linking in with OT