

# Department of Energy and Climate Change (DECC)

## Information Management Assessment Programme Action Plan

#	Recommendation	Actions	Priority High/ Low/ Medium	Timescale	Owner	Observations	Delivered? Yes/No
R1	DECC must ensure that where key services are procured under SLAs that knowledge and information continuity risks are monitored and reported periodically to the Shared Services Integration Project Board. This may be achieved by; <ul style="list-style-type: none"> <li>Defining a set of metrics for contract monitoring</li> <li>Agreeing a timetable for reporting</li> </ul>	Action 1.1: Digital continuity risks to be formally introduced into SLA requirements.	Med	January 2013	Head of KM	Consultation with the KIM team on such risks is now normal practice. The DECC Development Programme (addressing the recommendation of the recent Capability Review) will ensure that this is formally embedded into the processes for developing SLA requirements	No
R2	DECC to develop an implementation plan, including timeline and benefits realisation, for the Knowledge-Sharing Strategy. This may be achieved by; <ul style="list-style-type: none"> <li>A detailed project plan with agreed milestones</li> <li>Regular updates to a relevant change programme or project board.</li> </ul>		High	Complete	Head of KIM	An implementation plan was agreed in September 2011 and is due for review in October 2012. Progress is reported quarterly to The KIM Steering Group, and progress against major milestones is reported monthly to the Chief operating Officer.	Yes
R3	The KIM team should modify and review the EDRMS metrics so that they continue to challenge and raise EDRMS use. This may be achieved by; <ul style="list-style-type: none"> <li>Including, number of documents into the EDRMS, when updated, number of emails filed etc</li> </ul>		High	Complete	Head of KIM	DECC's Operational Business Plan contains a KPI for EDRMS use - 80% of staff to be an active user by March 2013. The number of records which must be saved to qualify as an active user has been increased from 1 to 4 per month.	Yes
R4	KIM team to review how the profile	Action 4.1: restate the	Med	Complete	Head of	4.1 In May 2012 the Chief	Yes

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	<p>of the IM role can be raised. This may be achieved by;</p> <ul style="list-style-type: none"> <li>• Reviewing training requirements for the role</li> <li>• A community of practice section on the Intranet</li> <li>• Restate the importance of the role to managers</li> </ul>	importance of the role to managers			KIM	<p>Operating Officer reiterated the importance of the IM role to all DGs and Directors</p> <p>Monthly statistics on Matrix use circulated to Directors and Deputy Directors by the Permanent Secretary's Office</p>	
		Action 4.2: Reviewing the training requirements of the role	Med	January 2013	Head of KIM	<p>DECC's EDRMS is due to be upgraded, and technical training requirements will be assessed once this has happened.</p> <p>IMs have developed training courses on remote working which they deliver for their teams.</p>	No
		Action 4.3 A community of practice section on the Intranet	Low	June 2013	Head of KIM	<p>DECC has just implemented a new intranet. Initially this will not support communities of practice, but it is intended to introduce this functionality in the future.</p> <p>The IMs already operate as an informal network (they are known collectively as the IM Network) seeking and sharing expertise.</p>	No
<b>R5</b>	<p>KIM team to assess how the expertise of the IMs can be raised to meet the department's information needs. This may be achieved by;</p> <p>See recommendation 4 above</p>	Action 5.1: Raise expertise of IMs	Med	Ongoing	Head of KIM	<p>Monthly IM Network meetings have a standing agenda item to identify new training needs, prioritising most common areas of concern for end users.</p> <p>As mentioned above, IMs have developed training courses on search and remote working which they deliver to their teams.</p>	Ongoing

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R8	DECC should use the Digital Continuity Guidance produced by The National Archives to expand its Information Asset Register to create a management tool to support the management of information over time and through change. This may be achieved by; <ul style="list-style-type: none"> <li>Reference the Digital Continuity guidance to support on the National Archives Website<sup>1</sup></li> </ul>	Action 8.1: DECC staff to attend Digital Continuity training at TNA	High	Nov 2012	Head of KIM		No
		Action 8.2: Information Asset Register to be reviewed and updated	High	Dec 2012	Departmental Security Officer/Head of KIM	This will include an assessment of digital continuity needs, and will identify any additional data which DECC can publish to support Transparency and re-use.	No
R9	DECC should put in place a programme to train the IAOs and raise awareness of the role and its responsibilities. This may be achieved by; <ul style="list-style-type: none"> <li>Using the Digital Continuity guidance as a basis for the training</li> <li>Reviewing how the IAO role has been assigned within DECC</li> </ul>	Action 9.1: IAO training and awareness	High	Complete	Departmental Security Officer	DECC reviewed and updated training in 2011 which has now been delivered to all IAOs.	Yes
		Action 9.2 Amend IAO training to include digital continuity, Transparency and changes to GPMS	High	March 2013	Departmental Security Officer/Head of KIM		No
R10	Information related to business critical assets within the IAR must be tied into departmental business continuity planning. This may be achieved by; <ul style="list-style-type: none"> <li>Reference to the Digital Continuity guidance</li> </ul>		High	Complete	Departmental Security Officer	DECC completed a review of its Business Continuity Plan and processes in 2011, including business critical information assets. This has now been implemented across the Department.	Yes
R11	DECC should use The National Archives' guidance to develop a What to Keep schedule for the department. This may be achieved by; <ul style="list-style-type: none"> <li>Utilising the available professional support and guidance to assess best practice and use examples from other government departments</li> </ul>	Action 11.1 Review existing generic guidance on what information to manage in Matrix.	Med	Dec 2012	Head of KIM	DECC's EDRMS is due to be upgraded in March 2013, after which we plan to integrate it with SharePoint 2010 to simplify capture of records. This will be a significant project, requiring significant technological and cultural change across the entire Department, and will	No

<sup>1</sup> <http://www.nationalarchives.gov.uk/documents/information-management/customer-guide-to-framework.pdf>

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						incorporate new guidance and processes on What to Keep. We will liaise with The National Archives to keep them up to date on progress.	
R12	<p>DECC to conduct a review of information held on personal drives and consider introducing a size limit. This may be achieved by;</p> <ul style="list-style-type: none"> <li>• By linking the information from the IAR, information on ICT systems.</li> <li>• Use the knowledge of the in house IT staff, contractors, IMs, IARs and managers to collate this information</li> </ul>	Action 12.1: Review of use of personal and shared drives DECC	Medium	March 2013	Head of KIM	<p>We are undertaking a review of the use of these drives to better understand their content and the reasons behind their use. We anticipate that this, supported by revised EDRMS metrics and communications plan, and the new EDRMS/SharePoint interface mentioned above, will significantly reduce the amount of information held in repositories other than the EDRMS.</p>	No
R13	<p>DECC should ensure that IMs are empowered to challenge staff over poor naming of documents and encourage colleagues to follow departmental guidance. This may be achieved by;</p> <ul style="list-style-type: none"> <li>• Refer to recommendation 4 above</li> </ul>	Action 13.1: Chief Operating Officer to email to DGs and Directors	High	Complete	Head of KIM	<p>In May 2012 the Chief Operating Officer reiterated the importance of the IM role to all DGs and Directors (the message also mandated EDRMS use for all corporate records, and that it is the responsibility of managers to ensure this happens).</p>	Yes
R14	<p>DECC needs to increase usage of the EDRMS and enforce limits on exceptions to the policy and communicate to all. This would be supported by:</p> <ul style="list-style-type: none"> <li>• Limiting personal drive sizes</li> <li>• Reviewing the provision of shared drives to business units</li> <li>• Using IMs and middle managers to drive compliance</li> </ul>		High	Complete	Head of KIM	<p>EDRMS use for corporate records is mandated by the Permanent secretary, and any exceptions must be approved by the KIM team. See recommendations 3 and 12 above for other initiatives to increase EDRMS use.</p>	Yes

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R15	The KIM team to develop appraisal criteria for legacy records. This may be achieved by; <ul style="list-style-type: none"> <li>See recommendation 11 above</li> </ul>	Action 15.1: Develop appraisal criteria for legacy records	Med	Dec 2012	Head of KIM	DECC is working with BIS, its shared service provider, to review all records over 8 years old by the end of 2012. This will provide appraisal criteria, which can be applied to newer records covering the same the functions, as well as those included in the current exercise.  The appraisal methodology has been approved by TNA and records for permanent preservation have already been identified for transfer to Kew.	No
R16	The KIM team need to ensure that KIM guidance references all record types, including legacy paper records. This may be achieved by; <ul style="list-style-type: none"> <li>Update current records and information guidance.</li> </ul>	Action 16.1: Update KIM guidance to include reference to legacy paper records	Med	Dec 2012	Head of KIM		No
R17	The KIM team to liaise with the Private Offices in the implementation of an annual audit as referenced within The National Archives' guidance to ensure that they are operating effectively. This may be achieved by; <ul style="list-style-type: none"> <li>Reference to Guidance on the Management of Private Office Papers<sup>2</sup></li> </ul>	Action 17.1: Undertake audit	Med	Nov 2012	Head of KIM		No
		Action 17.2: Report and recommendations		Dec 2012	Head of KIM		No
		Action 17.3: Implement recommendations		Jan 2013	Head of KIM		No
R18	The KIM Team and ICT should audit email inboxes to provide the base to identify and mitigate the risk of poor	N/A				Current DECC policy does not allow access to individual's email accounts	No

<sup>2</sup> <http://www.nationalarchives.gov.uk/documents/information-management/popapersguidance2009.pdf>

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	<p>email management. This may be achieved by;</p> <ul style="list-style-type: none"> <li>• Use of available metrics available on use of the EDRMS and that provided by IT</li> </ul>					<p>apart unless there are exceptional circumstances.</p> <p>DECC recognises that emails form a significant part of the corporate record and we already address this by deleting all emails after 12 months, ensuring that emails which are of ongoing value must be saved into the EDRMS. There is a limit on the size of inboxes, and staff cannot save older emails as .pst files. Capturing emails as part of the corporate record is supported by the programme to increase use of the EDRMS, and storage of emails will be included in new DECC-wide information management policy and plan mentioned above.</p>	
R19	<p>DECC to develop a strategy for managing digital continuity drawing on expertise from all relevant teams within the department. This may be achieved by;</p> <ul style="list-style-type: none"> <li>• See Recommendation 8 above</li> </ul>	Action 19.1 Produce Digital Continuity Strategy and implementation plan	Med	Dec 2012	Head of KIM	DECC will complete a strategy, in line with the review of its Information Asset Register by December 2012. Digital continuity will also be added to IAO training	No
R20	<p>DECC to embed digital continuity into the IT change management process, with a digital continuity impact assessment as a core component. This may be achieved by;</p> <ul style="list-style-type: none"> <li>• See Recommendation 8 above</li> </ul>	Action 20.1: Embed digital continuity requirements into PPM processes	Med	January 2013	Head of KIM/Head of IT	Consultation with the KIM team is now normal practice when new IT requirement are being developed. The DECC Development programme will ensure that this is formally embedded into the processes for developing requirements	No
R21	<p>DECC to develop a technology roadmap for MATRIX, continuing to engage suppliers and pilot new approaches to identify options. This</p>	Action 21.1: Upgrade EDRMS	High	March 2013	Head of KIM./CIO/BIS	The EDRMS is provided to DECC by BIS as part of shared service. An upgrade is planned in March 2013	No

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	<p>may be achieved by;</p> <ul style="list-style-type: none"> <li>See Recommendation 8 above</li> </ul>					<p>which will allow DECC to integrate the EDRMS with SharePoint 2010.</p> <p>DECC's current IT contract ends in March 2014. Planning for the provision of a new service is well advanced, and includes EDRMS provision. As part of this exercise DECC has assumed continuation of the EDRMS service provided by BIS. However, we are also assessing other options (for example services available in the G-Cloud) to confirm that the shared service continues to provide the best overall EDRMS solution for DECC.</p>	
		Action 21.2: Programme to integrate EDRMS with SharePoint 2010	Med	Scheduled to start from April 2013	Head of KIM		No
R22	<p>DECC to include digital continuity requirements in the specification and procurement of new systems to cover interoperability, data exchange and extraction and standardised technology. This may be achieved by;</p> <ul style="list-style-type: none"> <li>See Recommendation 8 above</li> </ul>	Action 22.1: Embed digital continuity into procurement of new systems	Med	January 2013	Head of KIM/Head of IT	<p>This is interlinked with the action for recommendation 20 above. Consultation with the KIM team is now normal practice when new IT requirement are being developed. The DECC Development programme will ensure that this is formally embedded into the processes for developing requirements</p>	No
R23	<p>DECC to review how data protection training is cascaded and implemented to ensure personal information is held and managed effectively. This may be achieved by;</p> <ul style="list-style-type: none"> <li>Reviewing the attendance of the courses</li> </ul>	Action 23.1: review completion of online data handling training	High	Complete	Departmental Security Officer	<p>86% of DECC staff completed the mandatory level 1 training in 2011. A target of 90% has been set for 2012 and is championed by the SIRO.</p> <p>Managing personal and</p>	Yes

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						sensitive information is included in induction training for all new members of staff.	
R24	DECC should work within the BIS SLA to refresh the FOI training and develop an communication programme for staff.	Action 24.1: Review FOI training content with BIS	High	Complete	Head of KIM	BIS provide tailored, high level briefings for teams in DECC as requested.	Yes
		Action 24.2: Communication programme on FOI	High	Complete	Head of KIM	There have been three FOI communication exercises since the completion of the IMA	Yes
		Action 24.3: Provide specialist FOI/EIR training from DECC staff as part of L&D package	Med	Oct 2012	Head of KIM	More detailed training in both FOI and EIRs will be available as part of DECCs Learning and Development Programme from October 2012.	No
R25	KIM team to develop access control auditing processes	Action 25.1: Develop access control auditing process	Med	Dec 2012	Head of KIM	These will be produced jointly with the Security team	No
R26	The KIM team to mandate the minimum record standards to be kept and incorporate them into WTK and KIM guidance. This may be achieved by; <ul style="list-style-type: none"> <li>See recommendation 11 above</li> </ul>	Action 26.1: Mandate use of EDRMS for corporate records	High	Complete	Head of KIM	Use of the EDRMS for corporate records is mandated by the permanent Secretary, and in part enforced by compliance with Cabinet Office guidance on the management of Private Office records, as all submission to ministers and the permanent secretary must be submitted as EDRMS links.	Yes
		Action 26.2: Review current guidance on what records to store in EDRMS	Med	Dec 2012	Head of KIM	.	No
		Action 26.3: Produce What to Keep guidance	Med	April 2013 onwards	Head of KIM	DECC will introduce new guidance on what to keep as part of the larger programme to integrate the EDRMS and SharePoint 2010, scheduled to start in 2013.	No
R27	DECC should explore what	Action 27.1: Raise	High	January 2013	Departmen	DECC will now focus on	No

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	initiatives are available or in use by government departments to raise awareness and use of GPMS.	awareness of new GPMS to be introduced in April 2013.			tal Security Officer	raising staff awareness of changes to the GPMS scheduled for 2013.	
R28	DECC should review, delete and rebrand BIS or Defra Intranet content. This may be achieved by; Can be incorporated into the ongoing refresh of record and information management guidance, and the review of ongoing review of EDRMS training.	Action 28.1: new DECC intranet	Med	Complete	Head of KIM	A new intranet is now in place	Yes
R29	DECC should assess how induction training can be improved within available resources to meet departmental needs.	Action 29.1: Review induction training	Med	Complete	Head of KIM	KIM induction training has been reviewed and is now presented jointly with security team to cover IA issues.	Yes
R30	The KIM team to input into the BIS Matrix training as part of the SLA review. This may be achieved by; <ul style="list-style-type: none"> <li>Agree content to cover DECC WTK guidance and records and information management</li> </ul>	Action 30.1: Review Matrix training	Med	April 2013	Head of KIM	Matrix training will be reviewed following the planned upgrade of the EDRMS.	No
R31	DECC should develop and implement a formal knowledge capture process to include access to that information once recorded. This may be achieved by; <ul style="list-style-type: none"> <li>Creating a template that includes set questions</li> <li>Ensure that staff and managers know when and who must complete it.</li> </ul>	Action 31.1: Develop and publicise knowledge transfer processes	High	Complete	Head of KIM	DECC now has guidance on knowledge transfer (including a template and set questions), Peer Assists, After Action Reviews and Lunch and Learn sessions on its intranet. These will be supported by a series of KIM awareness sessions across the Department. Lessons learned is also being built into DECC's PPM processes as part of the DECC Development Programme.	Yes

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