

# Department for Education (DfE) Information Management Assessment Programme

## Action Plan

The following table sets out the recommendations from the TNA Information Management Assessment undertaken in July 2009 and shows the Actions, Priority and Timescale in which DfE have already or plan to take the necessary actions as at July 2011

#	Recommendation	Actions	Priority High/Low/Medium	Timescale	Owner	Observations	Delivered? Yes/No
R1	In line with the Hannigan Review guidance, DfE should ensure that they have board representation covering all aspects of information risk, and not just information security.	Recognise need to manage all aspects of information risk and ensure representation at Board Level.	High	2009-2011	Senior Information Risk Owner (SIRO)	SIRO is Director General Corporate Services and is a Board Member. Assumed responsibility 2010.	Yes
R2	The Board should follow the guidance set out in the Information Matters report and consider information risk alongside, and as a contributory part of, other key risks, and give it priority accordingly.	Bring Information Management Matters and Information Management Assessment and proposed response of the Information Workplace programme (IWP) before relevant Departmental Committees for scrutiny and adoption	High	2009-2011	Chief Information Officers Group (CIOG)	Audit and Risk Assurance scrutinised risks and considered Information Management Assessment report in February 2010; Board scrutinised and recommended acceptance by the Accounting Officer of the IWP programme as a proportionate and sensible way forward to manage information risk	Yes. IWP delivered 2010
		Report into corporate risk registers and monitor information risk	High	2009-2011	SIRO, CIOG	Risks monitored through updates to Departmental Risk Registers, IWP programme; Corporate	Yes

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						Transformation and Business Systems Programmes. Changes to information risk management and governance to be ratified August 2011	
R3	DfE should consider the formation of an Information Management Board to oversee all aspects of knowledge and information management.	Review current governance arrangements and consider whether there should be a single overall board for KIM	Medium	2009-2011	CIOG	Reviewed but concluded that the most appropriate 'home' is overarching corporate transformation boards. Currently, Business Systems Programmes Board.	Yes
R4	DfE, in line with the KIM reporting structure, should develop and communicate clear responsibilities for all staff.	Review KIM function and how relates to the wider responsibilities of staff across the department	Medium	2009-2010	CIOG CKO	Clear communication of policies and staff responsibilities through IWP programme. Policies regularly reviewed and embedded at point of use in Workplaces and intranet	Yes
		Review policies and revise to enhance departmental capability					
		Communicate new processes and responsibilities through the Information Workplace Programme (Content Managers/Site Administrators; Site Owner; Account Managers (KRM Team))	Medium	Apr 2010 and ongoing	CKO	Policies embedded at point of use; content managers supported through forum and regular newsletter; playground; engagement from Knowledge and Records Management Team (KRMT)	Yes and ongoing
		Review capacity and identify KIM professional roles	Medium	2009-2010	CKO	Clear roles and responsibilities defined and re-organisation of KIM	Yes

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						professional resource into KRMT to support and drive forward improved information management via IWP. New IWP account manager role defined for KRM Team	
R5	DfE to ensure that the IWP champion roles are clearly defined and fully supported.	Identify roles required and support needed for sustainability of the solution.	Medium	Apr 2010 and ongoing	CKO	Roles identified through change management stream of IWP programme. Engagement is ongoing but will take opportunity of upgrade in 2012 for re-focus and refresh of roles. Support provided through guidance, training, KRMT.	Yes and ongoing
R6	DfE to define, communicate and mitigate Information Management risk within its corporate and business reporting systems.	Review content of corporate communications channels for information management risk	Medium	2010 - 2011	CIOG	See R2. Information management risk embedded in communications for expected corporate behaviours for Workplaces	Yes and ongoing
R7	DfE should define what information it needs to keep, with the support of The National Archives, and ensure that all staff are aware of this.	Review policies and identify what information DfE needs to keep	Medium	2009 - 2010	CKO	Policies embedded in Workplaces at point of use including content type to ensure retention. Worked with policy makers to identify what needs to be kept. Further work ongoing with The National Archives.	Yes and ongoing
		Communicate policies to all staff	Medium	2009 - 2010	CKO	Policies communicated at	Yes

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						point of use in Workplaces and via IWP programme; Making Policy on intranet	
R8	DfE should revise the records and information management policies to ensure that they include fully the use of digital media.	Review policies to ensure that electronic records are included as well as paper.	Medium	2010	CKO	Revised records management policy including electronic records published in all Workplaces and intranet	Yes and ongoing
R9	DfE should review the current resource levels to ensure that it will continue to meet future statutory requirements.	Review operating model for KIM	Medium	2010	CKO	Review led to merging of library and information and records management teams to become the Knowledge and Records Management team.	Yes
		Review ongoing demand for KIM services	Medium	2010	CKO	Service capacity doubled as result of extending roles of existing team and defining new Account Manager role.	Yes
R10	DfE should develop a migration policy to manage legacy information.	Migrate legacy records from Meridio into Legacy Records Centre	Medium	2009 - 2010	CKO	Information reviewed and migrated from Meridio into Legacy Records Centre	Yes
		Review and migrate content from shared areas into IWP Records Centre	Long term	2010 -	CKO	In progress. Users encouraged to migrate content, but no overall project instigated. The shared area lockdown tool has now been developed and will be implemented alongside the implementation of the new Desktop	No.

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R11	DfE should review its email policy given the potential long term risks to the organisation.	Improve records declaration and email management in Workplaces	Medium	2010	CKO	Third party tool implemented for this purpose	Yes, September 2010
		Review and update existing guidance	Medium	Medium	CKO	Done, Also the move to Exchange 2010 will provide the opportunity to update the guidance and embed new practice, scheduled for Q3/4 2011/12.	Yes and ongoing
R12	DfE should review its guidance on use of off-site storage to ensure that only information that needs to be retained is retained.	Implement Service Level Appraisal Questionnaires	Medium	Medium	DRO	Reduced need for physical review; aided bulk destruction process and reduced storage	Yes
		Constantly review storage requirements	Medium	Medium	DRO	Core function of RMT; greater VFM achieved in contract with external supplier FY 2010 onwards	Yes
		Review guidance on intranet	Medium	2010	DRO	Reviewed and published on the intranet.	Yes
R13	FOI and DP training should be included in all corporate induction programmes, in the overall context of the importance of managing DFE's information effectively and securely.	Review FOI and DP training provision	Medium	Medium	Information Rights Team (IRT)	Considered but as recruitment much reduced induction training not seen as appropriate or effective. Will continue with intranet guidance (revised early 2011); awareness sessions and training on demand; in-depth briefings on ad hoc basis. IRT delivered 25 sessions on FOI 2010. Joint sessions (FOI and DP) are planned to support new Executive	No - consider delivery of online guidance and targeted advice across Department as best way forward.

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						Agencies	
R14	The department should review the material it makes available for reuse to determine if there are further information assets that could be surfaced and released proactively, in line with the Government's 'Making Public Data Public' initiative (2009). From 2010 Public Data Transparency Principles	Aiming to provide all our data (statistics) in one place on our website and integrate this into data.gov.uk. Data will be available in xml and csv formats.	Medium	Medium	Digital Communication s Unit	Launch aimed for July 2011 on DfE web site	Yes
R15	DfE should assess the utility of key performance measures for information management, in line with the assessment of information risk, and with the goals of DfE, to ensure that it is clear on the goals of the team in relation to the business.	KPIs for IWP and benefits tracking	Medium	2010 - 2011	CKO	Monthly reporting. Providing evidence of improved information management	Yes Sept 2010 and ongoing
Baseline IWP benefits before upgrade to SP2010		Medium	2011 - 2012	CKO	Will enable accounting for benefits realisation	No – date of upgrade in 2012 not yet known.	
Review and develop simple indicators for paper records management		Medium	Medium	CKI	Pending and to be carried forward	No	
R16	DfE should develop an integrated IWP Champion and Information Manager support programme to run concurrently with the implementation project.	Investigate viability of integrating Intranet Champions and Workplace Content Managers in next phase of IWP	Medium	2010	CKO	Upgrade to SP2010 an opportunity to re-engage with Workplace owners and champions. Support mechanisms include fortnightly newsletter to Content Managers and Content Managers Forum	No
R17	DfE should introduce training on information and record keeping as part of all its induction programmes that emphasises how critical	Review provision of training in induction programmes	Medium	Medium	CKO	Recruitment very much reduced now. Basics covered in HR led induction programmes for former GO and ALB	Yes -under further review

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	good information management is as a business activity that every team 'owns'.					staff coming into DfE; introduction to and training courses on IWP	
	Review and promote other training channels including support provided by KRMT in driving up usage of Workplaces	Medium	Medium	CKO	Guidance on intranet and Workplaces; training; content managers newsletter and forum; team training days focused on good practice using Workplaces	Yes. Ongoing	
	Basics communicated in IWP training	Medium	Medium	CKO	More context given to basics in hands on Workplace training	Yes. Ongoing	
R18	DfE should ensure that IRMT, HR and others develop an appropriate training programme that includes knowledge and information management for all staff.	Review IWP training programmes to include knowledge and information management	Medium	Medium	CKO	Classroom based Workplaces training expanded to include knowledge and information management	Yes
		Incorporate broader context into customer engagement activities of KRM Team	Medium	Medium	CKO	Focus of engagement and training is knowledge and information management	Yes
		See also R17					
R19	DfE to review training methods and assess ongoing support to ensure that maximum benefit is derived from the training for individual staff and the department.	Review take up of IWP training programme	Medium	Medium	CKO	75% (March 2011) departmental staff received classroom training on Information Workplaces.	Yes
		Review training channels including online guidance/classroom/ activities of KRM Team in account manager role for IWP	Medium	Medium	CKO	Informal anecdote and feedback firmly suggests satisfaction with mix of training channels. Post training surveys implemented and feedback acted upon. Formal review pending	No

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R20	DfE to work with The National Archives Web Continuity Team to ensure web content is captured.	Identify existing guidance and standards and ensure that new websites are set up appropriately	Medium	Medium	Digital Communication s Unit	Web content has been and continues to be captured for ALBs closure as part of ALB Reform Programme	Yes
R21	DfE should recognise that the Knowledge of the organisation must be managed, and that a formal and mandated set of processes, systems and principles be established and governed.	Establish Knowledge and Information Management maturity model communicated as the workplace Online Story on the intranet	Medium	Medium 2010 onwards	CKO	A KIM maturity model has been developed covers technology features against KM practice. It is deployed when considering what level of Workplaces an organisational unit requires.	Yes
		Deliver systems, processes based on IM principles and drive up their usage as this means improved information and knowledge management	Medium	Medium 2010 onwards	CKO	IWP policy identifies new ways of managing documents and records based on sound information management principles. Although organisational culture does not permit "mandation". IWP usage continues to increase; 12,000 records declared by June 2011.	Yes
R22	DfE to consider implementing a formal repository of Knowledge and Information assets to maintain the corporate memory.	Implement wiki-like repository for sharing information and knowledge assets	Medium	Medium	CKO	The Knowledge implemented July 2010. Comprises briefings and user generated content in the form of insights and experience of policy makers. It is	Yes

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intended to be  
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