



Department for International Development

Information Strategy

2013

Our Vision

Those working for DFID manage, exploit, make available and protect corporate information through systems and processes that are aligned with legislative requirements and the needs of transparency and supported by effective policies, procedures and guidance.

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Executive Summary

This Strategy shows that good information management is seen as being crucial to the work of DFID and sets out how we are meeting the Information Principles that were set for all Government Departments in December 2011.

The document describes the ways in which we are meeting each Principle and the actions that are under way or planned to further develop our capability in each area:

	Principle	Action
1.	Information is a Valued Asset	We will seek to reconfirm the commitment of the Permanent Secretary to the importance of information to the business and to the necessary actions to improve compliance as part of the review against the National Archives (TNA) Information Management Assessment planned for June 2013.
2.	Information is Managed	<p>We will replace the Quest electronic documents and records system as it is no longer supported after April 2014.</p> <p>We will promote information management skills as part of the new Civil Service Competences through DFID's performance management process.</p> <p>We will improve the access to the information management guidance that is provided to staff on the new Intranet (inSight) and adapt this to the requirements of the new Government Protective Marking System (GPMS).</p> <p>We will produce a new policy to explain how DFID information should be managed and protected on personal mobile devices.</p> <p>We will review the options for the secure connection of personal mobile devices to the DFID network and/or secure areas in the Cloud.</p>
3.	Information is Fit for Purpose	We will consider the possibility of implementing an Information Quality Improvement Plan to address priority areas not already covered in the Data Quality Improvement Plan
4.	Information is Standardised and Linkable	We will continue our pragmatic approach to implementing open and corporate standards and providing data in standardised, linkable formats.
5.	Information is Re-used	We will continue to develop our processes for enabling re-use as set out in the Open Data Strategy e.g. by making our data available in open Application Programming Interfaces (APIs)
6.	Public Information is Published	<p>We will confirm our processes for publishing to the Web under our new Digital Strategy and the move to a single Government website.</p> <p>We will adapt our Publication Scheme to meet the requirements of the revised ICO model publication scheme for central government depts.</p> <p>Processes for publishing DFID information will be reviewed against the replacement for the Government Protective Marking System (GPMS)</p>
7.	Citizens and Businesses Can access Information about Themselves	Further facilities for enabling access by citizens and businesses and making it easier to do business with DFID will be considered on the basis of need, efficiency and compliance and reflected in the Digital Strategy

Progress in meeting the Principles will be reviewed as part of The National Archives' Information Management Assessment in June 2013. This document will be reviewed annually.

Introduction

“Information is needed to inform policy development and make evidence-based decisions, as well as to ensure accountability to parliament and the public. At an operational level, information can be used to drive efficiency and service improvement- enhancing public services, while at the same time reducing waste and improving value for money.”

[Information Principles for the UK Public Sector, p 3¹]

Background

The Information Principles for the Public Sector were published in December 2011 as a deliverable under the Government ICT Strategy. The seven Information Principles build into a hierarchy, as shown below, with the first two being the foundation on which the others depend:



Purpose

DFID has demonstrated its adherence to the Information Principles through the Open Data Strategy² that was issued in June 2012. This Information Strategy reinforces our sign-up through a cross-check of how we are addressing each Principle across our business activities and how we plan to further develop our capability, processes and systems. It will be reviewed annually to establish any updates that are required.

¹https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/85987/Information_Principles_UK_Public_Sector_final.pdf

² <http://www.data.gov.uk/library/dfid-open-data-strategy>

The Strategy explains how we aim to be transparent with our structured and unstructured information (data, documentation etc.) but also how we will protect it appropriately. It explains what partners, aid recipients and members of the UK public can expect from the information that we produce in terms of standards and quality and sets out our plans for the future.

Audience

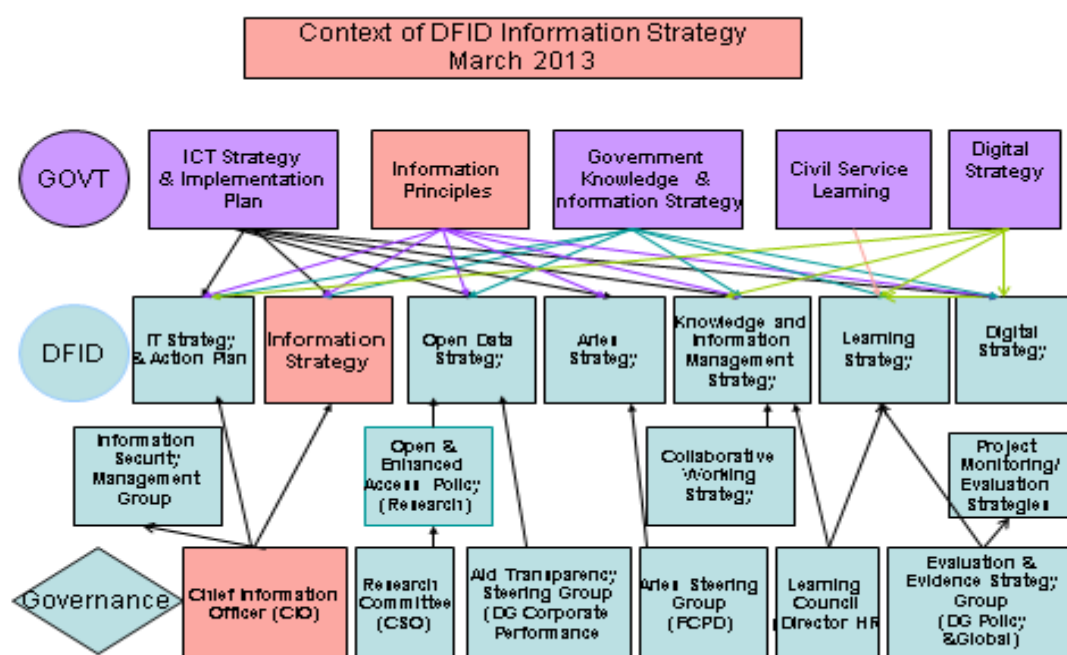
The Strategy will be published externally on the Web. DFID staff will be able to access the document from the DFID Intranet and link directly to the guidance that is available to help them meet their responsibilities.

Process and ownership

The Business Innovation Team in Business Solutions Department is responsible for producing and monitoring the Strategy.

DFID Context

The Information Strategy explains how DFID is addressing the Information Principles to help meet its overriding objective of ending poverty through more effective policy making and delivery of our development programmes, services and operations. The Strategy is part of a suite of inter-related strategies that set out how DFID is addressing cross Government requirements. The following diagram illustrates the overlaps and shows the governance arrangements that are in place:



Open Data Strategy Assessment

In July 2012, colleagues from NHS Informatics carried out a review of how well the Information Principles were being incorporated in Open Data Strategies across Government. DFID was judged as being aligned to the Information Principles with a “Green” RAG status. The assessment was that we had “recognised the principles and demonstrated extensively with good levels [of] evidence against the vast majority of the principle implications”.

Information Management Assessment

The National Archives (TNA) undertook an Information Management Assessment in November 2008. This recognised DFID’s achievements as one of the first departments to be accredited for its information security management systems under ISO/IEC 27001 and this accreditation continues to be maintained. A plan was agreed with TNA to address those areas of information management still requiring development. Reviews against the TNA plan to date show good progress, with all

categories marked at Satisfactory or above. A further review by TNA that will incorporate an assessment against the Information Principles is planned for June 2013.

KIM Maturity Model

We reviewed DFID’s performance in 2012 against the Knowledge Council’s Knowledge and Information Management (KIM) Maturity Mode, comparing this with an earlier assessment in 2009. The changes are tracked in Annex A and show an improvement in all areas except Culture and Leadership where the Defined level has been maintained (3.0). The Information Security category was not part of the Model in 2009 but was assessed at the highest Embedded level (5.0). The other categories most relevant to the Information Principles are listed below, with their markings for 2012:

- Managing, using and sharing information and knowledge securely (4.0, Managed)
- Information legality (4.5, Managed/Embedded))
- Staff motivation and reward (2.0, Aware)
- Training and skills (3.5, Defined/Managed)

Addressing the barriers

The above markings indicate some continuing barriers to further improvement:

Type of Barrier	Effect
Behavioural	People are not motivated to change their behaviours
Business processes	Good practice is not always embedded in the way people work
Skills	People fail to make use of eLearning facilities and do not follow guidance

Actions to address these barriers are discussed in the following chapters and summarised in the Roadmap in Annex B.

Principle 1: We value information as an asset in DFID

“It is important that information is valued as an asset and managed, protected and exploited throughout its lifecycle”

[Information Principles for the UK Public Sector, December 2012, p 7]

Key tools and sources of information

- Information Asset Register
- Open Data Strategy

How we are meeting the requirements

1. *Declaration from the organisation to establish the importance of information to the business*

This Strategy recognises the value of DFID’s corporate information and how it contributes to meeting the overall objective of eliminating poverty through our programmes, policies and services. Together with our [Open Data Strategy](#), it recognises the need to exploit such information more widely to the benefit of the UK public, our partners in the development community and people in the countries where we work. This is in addition to the commitment provided by the Permanent Secretary in the DFID Information Management Assessment to “provide effective leadership on Knowledge and Information Management capability across my Department”.

Each Director is required to produce an Annual Statement of Assurance covering the performance of his staff in key areas that include compliance on information systems, record keeping and data security e.g. good use of the Quest document and records management system, transparency and data protection.

2. *Defined approach for consistently identifying, categorising and cataloguing information assets and their usage*

We operate an Information Asset Register under which we manage each information asset as a single unit to ensure that it is understood, shared, protected and exploited effectively. Each information asset is assigned to a senior Information Asset Owner (IAO) who must have the required training and understand the nature and purpose of the asset. They are assigned responsibility for monitoring the usage, addressing the risks and ensuring the asset is fully used for the public good. They are accountable on an annual basis to the Senior Information Risk Owner. Guidance is available in relevant sections of the [Blue Book: Essential Guide to Rules and Tools](#) and from DFID’s intranet (inSight).

We give high priority to transparency as part of the way we work in DFID. Our Open Data Strategy records our currently published datasets and describes how we aim to publish our corporate information in formats that enable exploitation by a wide range of organisations and individuals. We make available the data and documentation from our aid projects and the research that we fund and initiatives are under way aimed at releasing new data and making it easier for others to use.

3. Established framework for assessing and recording the value of information assets

IAOs are accountable for confirming to the SIRO that new assets have been included on the Register, business impact has been assessed and management arrangements put in place. They must show that consideration has been given to using information assets for the public good and reviewing the information on the Register to ensure it is accurate and up-to-date.

Future plans

We will seek to reconfirm the commitment of the Permanent Secretary to the importance of information to the business and to the necessary actions to improve compliance as part of the review against the TNA Information Management Assessment planned for June 2013.

Principle 2: We manage our information in DFID

"[Information] needs to be governed with regard to regulation, and based on a consistent approach to risk assessment. Organisational roles and responsibilities should be in place, and skills and capabilities developed."

[Information Principles for the UK Public Sector, December 2012, p 7]

Key tools and sources of information

- ISMG Risk Register
- DFID Corporate Risk Register
- Information Sharing Policy
- Email Policy
- Personal Information Charter
- Records management policy
- Corporate Copyright Policy
- Data Protection policy and guidance
- FOI policy and guidance

How we are meeting the requirements

1. A framework for managing information through the different stages in the lifecycle

DFID has an electronic documents and records repository (Quest) that allows all staff to store and access business documents up to Restricted, including saved emails. The Departmental Records Officer is responsible for electronic records management processes and for the older records and information above Restricted that are still managed in traditional paper files.

A central Information Management team monitor these processes with the support of Information Managers based in departments and overseas offices. Retention and disposal processes are being reviewed for future implementation based on TNA guidelines. TNA guidelines for digital continuity are taken into account in our records management and transfer procedures and digital continuity is incorporated into the corporate process for setting up new projects.

Staff are able to collaborate on documents and share other information with groups of colleagues by using SharePoint TeamSites but the guidance makes it clear that documents must be saved into Quest if required as part of the business record. The Email Policy sets out the guidelines for managing email and saving business emails to Quest. Emails are otherwise automatically deleted after 90 days.

2. Established framework for information risk assessment and risk management

DFID has policies that ensure that we review the risks and manage and protect our data throughout its lifecycle. The policies are set out for staff in the [Blue Book](#) and accessed from inSight. All new IT systems and all substantial upgrades to existing IT systems are subject to a risk assessment in according to HMG Information Assurance standards before they are implemented.

Information Risk is defined as that part of DFID's overall risk portfolio which relates to the confidentiality, integrity and availability of information within the organisation, in electronic and paper forms. We recognise that it is vital that we manage these risks well in order to minimise the potential impact on DFID's operations and reputation and to protect any personal information which we look after on behalf of the public. Wider transparency is also addressed as an integral part of DFID's corporate Risk Register and this is monitored regularly.

DFID's policy for managing information risk and evaluating the effectiveness of the measures put in place is the responsibility of the Senior Information Risk Owner (SIRO), currently the Director General, Finance and Corporate Performance, supported by a Deputy SIRO, currently the head of Business Solutions Department and the Chief Information Officer (CIO). The SIRO is responsible for developing and implementing the policy and for reviewing it regularly.

3. Defined approach to ensuring legal and regulatory compliance

DFID has central teams that support staff and monitor compliance with legislation. The Information Management team ensure that our records management procedures are designed to meet the needs of the Public Records Act and these are described in the [Blue Book](#). They work with local Information Managers to carry out quality assurance of our processes and provide guidance to staff on their individual responsibilities. Guidance is provided on copyright compliance and there is a process reflected on Quest for seeking permission from the owner where required.

Advice must be sought from the Openness Unit in the Corporate Hub on compliance with the Data Protection Act, Freedom of Information and the Environmental Information Regulations. We explain on how we handle personal information to meet the Data Protection Act in our [Personal Information Charter](#) on the web. Our [Publication Scheme](#) makes it easier to access our information, as required under the Freedom of Information Act.

All new IT systems which process personal data in new ways are subject to a Privacy Impact Assessment before implementation. Guidance on the requirements for Data Protection is provided to all staff and training is mandatory for those routinely handling personal data. IAOs are accountable for ensuring that the risks of data sharing are assessed and appropriate mitigation steps taken in defined circumstances.

Our Information Sharing Policy emphasises how sharing with external partners is central to DFID's transparency commitments but also points staff to the legislative, security and policy considerations that they need to take into account.

4. Defined approach to Information Governance

The SIRO appoints an Information Security Management Group (ISMG) to advise on the overall management of information security and information risk. Further information on its role and that of the IAOs is provided under Principle 1 above and under risk management in the previous section. The diagram on page 6 puts the ISMG in the wider context of other relevant DFID strategies and groups. The Departmental Records Officer and Head of Information Assurance have a reporting line to the CIO, currently the Deputy SIRO. The Head of Openness Unit has a reporting line to the SIRO.

5. Skills framework/maturity model is established to develop organisational capabilities and culture for information management

The Knowledge Council KIM Maturity Model is used to assess capabilities and culture in DFID. An eLearning module on core information management skills is available from Civil Service Learning and guidance on DFID procedures is provided through DFID's intranet (inSight). The review against the Maturity Model in 2012 indicated some weaknesses in this area and these need to be addressed. Updated guidance on participating online using social media tools has been produced to meet the needs of the new [DFID Digital Strategy](#) that was produced in December 2012. Changes to our processes, guidance and training will also be required in advance of the replacement for the current Government Protective Marking System (GPMS) that is being implemented in 2013.

Future plans

We will replace the Quest electronic documents and records system as it is no longer supported after April 2014. The aim is to replace it with a more cost-effective and user-friendly system but one that continues to reflect the different stages of the information lifecycle, address digital continuity and meet business and legislative requirements.

We will promote information management skills as part of the new Civil Service Competences through DFID's performance management process.

We will improve the access to information management guidance that is provided to staff on the new Intranet (inSight) and adapt this to the requirements of the new GPMS.

We will produce a new policy to explain how DFID information should be managed and protected on personal mobile devices.

We will review options for the secure connection of personal mobile devices to the DFID network and/or secure areas in the Cloud.

Principle 3: Information is fit for purpose in DFID

“It is important to ensure that information is of sufficient quality to meet the purpose for which it is intended. This includes both its primary purpose and also any additional secondary purposes to which it might also be put.”

[Information Principles for the UK Public Sector, December 2012, p 23]

Key tools and sources of information

- Information Asset Register
- Open Data Strategy
- Blue Book: Essential Guide to Rules and Tools
- Data Quality Improvement Plan
- IT Strategy
- Personal Information Charter

How we are meeting the requirements

- Defined approach to determining the right quality of information to meet its purpose

The Information Asset Register sets out the characteristics of each Information Asset. The owners, together with the Corporate Hub, Information Management Unit and other monitoring teams, set the standards for those entering data and information to ensure that the primary and any secondary purposes are met. Approval of new projects requires quality to be addressed in Business Cases and as part of the Change Agreement Board process.

- Consistent approach to describing, recording and communicating information quality

We have agreed to use the Audit Commission guidelines to define good quality data, as set out in the [Open Data Strategy](#):

Data must be...	
Accurate	Accurate enough for the intended purposes
Valid	Recorded and used in compliance with the relevant requirements
Reliable	Reflects stable and consistent data collection processes across collection points and over time
Timely	Captured as quickly as possible after the event or activity and made available for the intended use within a reasonable period of time
Relevant	Relevant to the purposes for which it is to be used
Complete	Data requirements should be clearly specified based on the information needs of the body and data collection processes matched to these requirements.

Our [Personal Information Charter](#) on the web explains how we handle personal data. DFID staff have a duty to ensure the data released to the public is both accurate and meaningful. A number of central teams have responsibility for setting the guidelines on the quality of our information, data and records. Efforts are under way to ensure more consistency in the approach to information quality issues across the different systems and processes through a more joined up approach.

- Established processes and governance to monitor and assure information quality

The feedback loop provided by open data publication has the potential to help drive internal improvements in data quality. Initiatives are under way to train and guide staff in what makes our data and information fit for transparency purposes. We have said in our Open Data Strategy that we will:

- Ensure that transparency and data quality are noted in all our guidance on systems and procedures.
- Increase the visibility of published and pre-published information to internal DFID users, encouraging them to regularly check the quality of data for their areas of responsibility.
- Circulate regular monthly "lessons learned" to all staff to provide direct feedback from open data users.
- Introduce easy to use check lists to assist in data quality improvement.
- Provide detailed league tables and statistics on divisional performance for senior management to drive awareness of data quality.
- Regularly review the data exclusions policy and existing data exclusions to ensure that as much data as possible is published.
- Encourage our research partners to collect and store data from the outset in a manner that enables data archiving, and to deposit datasets in existing, specialist repositories with high quality standards.

Guidance on the quality of project documentation is being provided through detailed "How To" Notes. The Quality Assurance Unit has a role in reviewing the Business Cases that are produced for each project. Annual Reviews and Project Completion Reviews are to be subject to a similar process.

The quality of corporate and aid project data is subject to review by the Corporate Hub. There has been good progress on a Data Quality Improvement Plan as part of the transparency agenda. A data cleansing exercise was promoted during summer 2012. Compliance with the guidelines has shown some improvement but the quality of entries and descriptors for expenditure over £25,000 remains variable. There are also issues with the project data e.g. due to a lack of plain English and the continuing use of acronyms and there are plans to redefine the reporting tool to seek improvements.

Information Management Unit (IMU) is responsible for quality control of the Quest electronic document and records system. They oversee Information Managers at the local level who train staff in good information management and use of Quest. Information Managers also carry out regular quality assurance reviews and provide reports to senior staff to feed into Directors Statements and help ensure that remedial action is taken. The possibility of introducing additional document templates is under discussion, with the aim of improving how we record key meetings and decisions, and in support of smarter working.

- Defined approach to recording the relationship between information and its supporting technology, platform and format

Ways of encouraging better data quality are considered as part of technical system design e.g. through drop down lists or more effective reporting tools. The aim is to ensure that we provide platforms and formats that are aligned with the way the information is to be used, and this is now being assessed in terms of encouraging external use of our data as well as meeting our internal requirements. Our [IT Strategy](#) and [Open Data Strategy](#) set out the approach and this is managed through the Architecture Design Review Board (ADRB) process.

Future plans

We will consider the possibility of implementing an Information Quality Improvement Plan to address priority areas not already covered in the Data Quality Improvement Plan. This may include the introduction of new document templates aimed at improving the corporate record.

Principle 4: Information is standardised and linkable in DFID

“The opportunities for exploiting information greatly increase when it is made available in standardised and linkable forms”

[Information Principles for the UK Public Sector, December 2012, p 25]

Key tools and sources of information

- Transparency guidance
- IATI Standard
- Open Data Strategy
- IT Strategy

How we are meeting the requirements

- Commitment to open standards

We are committed under our IT Strategy to adopting Open Standards wherever possible and to promoting these in the development field. Under the International Perspective of DFID’s Open Data Model, as set out in the [Open Data Strategy](#), we publish data in an open, internationally agreed standard that others can reuse and repurpose. We are considering open standards for other types of information (finance, procurement, geographic etc.).

- Established corporate standards

We produce aid project data to meet the IATI Standard. We apply common indexing standards wherever possible and can produce data to open standards as required. Quality assurance processes are in place to check compliance with Quest document and records management procedures and the Data Quality Improvement Plan.

- Established framework for linking information

Data on all aid projects is published online on the user-friendly [Projects Database](#) and in the [International Aid Transparency Initiative](#) open data format.

We are consistent across our systems in our use of common references e.g. for project identifiers, staff, transactions, procurement, and documents. Documentation held on the Projects Database is sourced from Quest and financial data from the Aries system and there are links between the two systems. Master data on Projects, People, Finance and Documents is stored in single sources. The Chapter system for managing official correspondence links to documents on Quest. TeamSite integrates with Quest, allowing links to be made, documents to be checked out and new documents saved to the Quest repository.

The [Research for Development \(R4D\) database](#) holds information from DFID funded research and links to supporting data sets. R4D increasingly links to other research sources and knowledge. The current platform shares R4D data in formats that make it easier to reuse elsewhere.

- Pragmatic approach for migrating to standardised, linkable data

The Open Data Strategy sets out how we aim to further develop our ability to provide data in standardised, linkable formats, to enable re-use and publication in other formats.

We are investigating how to define a Linked Data approach for aid data, based on the IATI standard. This will enable aid project data to be converted into 4- and 5-star data, and will support efforts to provide greater traceability of aid spend. We are also investigating publication of our Spend dataset as RDFa data. An experimental R4D tool for our research data is already moving towards delivering a 5-star open data rating. We are piloting a methodology for linking our aid budget data with partner country budget data.

Future plans

We will continue our pragmatic approach to implementing open and corporate standards and providing data in standardised, linkable formats.

Principle 5: Information is re-used in DFID

“The value of information can be multiplied by re-use. This requires a change of mindset – to think outside of traditional silos and proactively look for opportunities to re-use.”

[Information Principles for the UK Public Sector, December 2012, p 28]

Key tools and sources of information

- Information Sharing Policy
- Open Data Strategy

How we are meeting the requirements

- Proactively offer re-use opportunities

We are already offering re-use opportunities for our aid project, research and corporate data through GOV.UK/dfid and through data.gov.uk. All the information is published in open reusable formats under the Open Government Licence.

We are making our aid project data available in machine readable format through the [IATI Registry](#). The IATI format data is supported by a simple Application Programming Interface (API) allowing others to readily reuse the data. We are also re-using our own published data by redeveloping our aid data platform to incorporate data from our implementing partners. The platform will be based on IATI format data using open source tools and we will release the source code to enable others to present their aid data.

The new [Open and Enhanced Access Policy for our DFID funded research](#) will provide access to more of our data and documentation for re-use by others.

We use social media tools to make DFID information available to others e.g. our Flickr site allows us to share photographs that help illustrate our development priorities with the public. Our photo galleries are used by other websites, such as the Guardian and the Times.

We also aim to re-use internal information for other corporate purposes e.g. by using data produced for our HR system to connect people and allow them to share information and knowledge.

- Established mechanisms to understand and, where possible, overcome constraints on re-use

We will actively assess further opportunities that offer real benefit as part of reviews of the [Open Data Strategy](#) and as new assets are brought into use. We aim to promote further re-use of aid data through a geocoding pilot.

- Established approach for promoting information that can be re-used

DFID staff are provided with clear guidelines on the importance of data quality to allow effective re-use of data and searching across systems. Our Information Sharing policy seeks to balance the need to exploit and to protect our information, particularly when sharing with external recipients, and the risks are monitored under the Transparency Section of our Risk Register.

The DFID Research Open and Enhanced Access Policy that has been agreed requires those undertaking DFID funded research to share their data and information to enable re-use.

- Established approach to discovering information that can be re-used

As stated in the Open Data Strategy, we aim to increase our capability and encourage re-use of our own as well as other people's data and information by DFID staff. There are ongoing periodic reviews of our internal datasets.

- Established approach to managing Reference/Master data

Our Integration Strategy and ADRB process document our pragmatic approach. IATI data for our aid projects is based on code lists sourced from internationally agreed data.

Future plans

We will continue to develop our processes for enabling re-use as set out in the Open Data Strategy e.g. by making our data available in open Application Programming Interfaces (APIs)

Principle 6: Public information is published by DFID

“Public information includes the objective, factual, non-personal information on which public services run and are assessed, and on which policy decisions are based, or which is collected or generated in the course of public service delivery. Public information should be published, unless there are overriding reasons not to.”

[Information Principles for the UK Public Sector, December 2012, p 22]

Key tools and sources of information

- Open Data Strategy
- Digital Strategy
- Transparency guidance
- Publication Checklist
- Publication Scheme

How we are meeting the requirements

- Framework in place for responding to legal obligations regarding public access to information

We have a Framework in place for responding to legal obligations around access to our information under the Freedom of Information Act and the Environmental Information Regulations. A central team deal with enquiries and our performance in meeting the targets is recorded on the Ministry of Justice website along with that of other Government Departments.

- Framework in place for proactively categorising information in terms of its relevance and suitability for publication

We maintain a [Publication Scheme](#) on the GOV.UK/dfid website, as required under the Freedom of Information Act. This aims to make it easy for people to access information on what we do and how we spend our budget. They can assess how well we are addressing our priorities and how we make decisions. They are provided with access to our policies and procedures and links to the services that we offer. As part of the Data Quality Improvement Plan under the transparency agenda, staff are provided with clear guidelines on the need for informative titles for projects and the need to spell out acronyms etc. to provide the context needed for information that is being published in the public domain

- Established channels and processes for publishing information

Details of the datasets that we publish, the channels we use and our plans for the future are listed in Annexes 1 and 2 of the DFID [Open Data Strategy](#). Spend data in

HM Treasury format is published on data.gov.uk along with other corporate information. Contracts data is published on the [ContractsFinder website](#). Research datasets, papers and links are made available through [R4D](#). Information on our aid projects is published on the [IATI Registry](#) and the [Projects Database](#).

The Projects Database contains descriptions of each project, the countries and sectors impacted, budgets, spend (including detailed transactions), and is supported by comprehensive document set including new Business Cases, Annual Reviews and Project Completion Reviews from 2011 onwards. Updated DFID data is published at the end of each month, reflecting the position at the end of the previous month.

Those who do not have access to the Internet can access data through the Public Enquiry Point, by letter or telephone. Our Chapter correspondence system enables the effective management of all our public enquiries along with Parliamentary Questions and other official correspondence

- Established pragmatic approach for publishing data

We have carried out surveys to inform our plans for future data releases and these plans are reviewed and updated on a regular basis as part of our transparency agenda. Transparency is taken into account in the development of new systems and legacy information is considered for inclusion when upgrades are being planned and where clear benefit outweighs additional effort.

Future plans

We will confirm our processes for publishing to the Web under our new Digital Strategy and the move to a single Government website.

We will adapt our Publication Scheme to meet the requirements of the revised ICO model publication scheme for central government depts.

Processes for publishing DFID information will be reviewed against the replacement for the Government Protective Marking System.

Principle 7: Citizens and businesses can access information about themselves from DFID

“Citizens and businesses should be able to access information about themselves, along with an explanation of how it is used. This may be either on request or, preferably, by making it available by default. In effect, such information should be considered as belonging to the citizen, though entrusted to the care of a public body.”

[Information Principles for the UK Public Sector, December 2012, p 24]

Tools and sources of information

- Open Data Strategy
- Digital Strategy
- Data Protection guidance
- Guidance on the transfer of Protectively Marked Material and Personal Data
- Personal Information Charter

How we are meeting the requirements

- Framework for responding to legal obligations regarding citizens’ access to information about themselves and how it has been used

Where we hold information on members of the public (for example overseas pensioners, job applicants, enquirers, suppliers) we have agreed channels that allow people to access this information.

The Public Enquiry Point is managed in the Openness Unit as are staff responsible for Freedom of Information and Data Protection. The Openness Unit is the first port of call for enquiries from citizens wishing to access their data. Our [Personal Information Charter](#) on the GOV.UK/dfid website sets out the standard individuals can expect when DFID requests or hold personal data about them.

DFID publishes details of contracts awarded on the cross-government [Contracts Finder website](#) on which 50-60,000 companies are registered. Contract notices over the OJEU threshold are also displayed here.

- Opportunities are identified to proactively make information about citizens available to them by default

Unlike most other government departments, DFID does not provide any significant public services directly to UK citizens, and therefore does not hold significant volumes of

data on such individuals. Opportunities were assessed under the [Open Data Strategy](#) and the [Digital Strategy](#). One possible option that was explored is to provide overseas pensioners with online access to their information as part of the payment process. However, recipients are part of an ageing community, many living in countries with low internet bandwidth services. Results of surveys under the Service Level Agreement show a high level of satisfaction with the service and these are published in the [Overseas Pensions Department Annual Report](#) .

- Approach to discovering information about a person is established

DFID ensures that any new need for person-centric data models and document indexing is assessed as part of system design and review to assist with subject access requests.

- Established pragmatic migration approach for enabling citizens to access information about themselves

DFID's Digital Strategy sets out our pragmatic approach to enabling citizens to access information about themselves.

Future plans

Further facilities for enabling access by citizens and businesses and making it easier to do business with DFID will be considered on the basis of need, efficiency and compliance and reflected in the Digital Strategy.

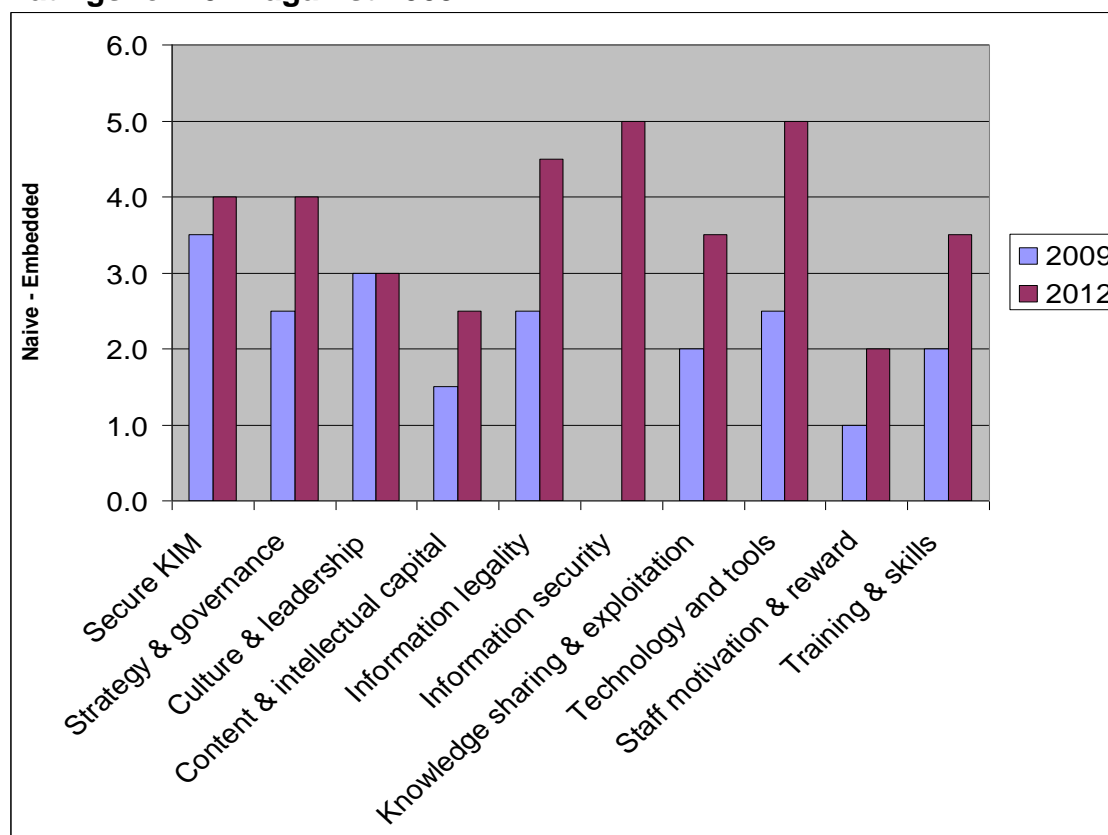
ANNEX A: KIM Maturity Model

Summary of ratings allocated for 2012

Category	Marks 2012	Rating 2012
Managing, using & sharing information & knowledge securely	4.0	MANAGED
Strategy and governance	4.0	MANAGED
Culture and leadership	3.0	DEFINED
Managing content and intellectual capital	2.5	AWARE/DEFINED
Information legality	4.5	MANAGED/EMBEDDED
Information security	5.0	EMBEDDED
Knowledge sharing and exploitation	3.5	DEFINED/MANAGED
Technology and tools	5.0	EMBEDDED
Staff motivation and reward	2.0	AWARE
Training and skills	3.5	DEFINED/MANAGED
TOTAL	37.00	
OVERALL MARKING	3.7	DEFINED/MANAGED

2.0	Naive
2.0	Aware
3.0	Defined
4.0	Managed
5.0	Embedded

Ratings for 2012 against 2009



ANNEX B: Roadmap for Information Strategy with alignment to Information Principles

Principle	Implication	Aligned G: Green A: Amber	Reference	Further actions/target dates
Principle 1 - Information is a Valued Asset				
	There is a declaration from the organisation to establish the importance of information to the business	G	Information Strategy p 8 Open Data Strategy p 3 Directors Statements	We will seek to reconfirm the commitment of the Permanent Secretary to the importance of information to the business and to the necessary actions to improve compliance as part of the review against the TNA Information Management Assessment planned for June 2013. (Quest ID 2123884)
	The approach is defined for consistently identifying, categorising and cataloguing Information Assets and their usage	G	Information Asset Register Open Data Strategy	

Principle	Implication	Aligned G: Green A: Amber	Reference	Further actions/target dates
	A framework for assessing and recording the value of information assets is established	G	Information Asset Register (covers business impact)	
Principle 2 - Information is Managed				
	A framework for managing information through the different stages of its lifecycle is established	G	Quest document and records management system Data Quality Improvement processes Project management process	Replacement system for Quest to be implemented, by May 2014
	The approach to digital continuity is defined	G	IT Strategy	
	A framework for information risk assessment and risk management is established	G	Information Security Management Group Risk Register Corporate Risk Register	

Principle	Implication	Aligned G: Green A: Amber	Reference	Further actions/target dates
	The approach to ensuring legal and regulatory compliance is defined	G	Blue Book Personal Information Charter Publication Scheme Data Quality Improvement plan and processes Quality assurance checks on Quest compliance	Continue to improve access to guidance on inSight, taking into account new GPMS Information management skills to be promoted as part of the new Civil Service Competences through DFID's performance management process, from April 2013
	The approach to Information Governance is defined	G	Chief Information Officer/Deputy SIRO Information Security Management Group Departmental Records Officer Head of Information Assurance	

Principle	Implication	Aligned G: Green A: Amber	Reference	Further actions/target dates
	A skills framework and / or maturity model is established to develop organisational capabilities and culture for information management	G	KIM Maturity Model Updated guidance on use of social media tools	Continue to improve access to guidance on inSight, taking into account new GPMS Produce policy for using DFID information on personal devices, by end June 2013 Review options for the secure connection of personal mobile devices to the DFID network and/or secure areas in the Cloud.
Principle 3 - Information is Fit for Purpose				
	An approach is defined to determining the right quality of information to meet its purpose	G	Information Strategy p 14 IT Strategy Business case documentation Change Agreement Board and CR process	
	A consistent approach is established to describing, recording, and communicating information quality	G	IT Strategy and Roadmap ADRB processes	

Principle	Implication	Aligned G: Green A: Amber	Reference	Further actions/target dates
	Processes and governance are established to monitor and assure information quality	G	Data Quality Improvement Plan	Consider implementing an Information Quality Improvement Plan to address additional priority areas, including possible new document templates
	An approach is defined to recording the relationship between information and its supporting technology platform and format	G	IT Strategy and Roadmap ADRB processes	
Principle 4 - Information is Standardised and Linkable				Continue our pragmatic approach to implementing open and corporate standards and providing data in standardised, linkable formats.
	There is a commitment to Open Standards	G	Open Data Strategy p 27 IT Strategy p 3 Information Strategy p 17	
	Corporate standards are established for the organisation	G	Quest QA on metadata compliance Data Quality Improvement Plan	

Principle	Implication	Aligned G: Green A: Amber	Reference	Further actions/target dates
	A framework for linking information is established	A	Master data on Projects, People, Finance and Documents stored in single sources. Links to Quest EDRM from Chapter, Aries etc. Projects database accesses Quest documentation and Aries data	
	A pragmatic approach for migrating to standardised, linkable data is established	A	IATI Standard	
Principle 5 - Information is Re-used				Continue to develop our processes for enabling re-use as set out in the Open Data Strategy e.g. by making data available through open APIs
	Opportunities to proactively offer re-use opportunities are identified	G	Open Data Strategy	
	Mechanisms are established to understand and, where possible, overcome the constraints on re-use	G	Open Data Strategy	

Principle	Implication	Aligned G: Green A: Amber	Reference	Further actions/target dates
	An approach is established for promoting information that can be reused	G	Information Sharing Policy	
	An approach is established to discovering information that can be reused	G	Open Data Strategy	
	The approach to managing Reference / Master data is established	A	Integration Strategy and ADRB process. IATI data based on code lists sourced from internationally agreed data.	
Principle 6 - Public Information is Published				
	A framework is in place for responding to legal obligations regarding public access to information	G	Open Data Strategy	Processes for publishing to the Web to be confirmed under our new Digital Strategy and the move to a single Government website
	Going beyond the legal obligations, a framework is in place for proactively categorising information in terms of its relevance and suitability for publication	G	Publication Scheme	Adapt our Publication Scheme to meet the requirements of the revised ICO model publication scheme for central government

Principle	Implication	Aligned G: Green A: Amber	Reference	Further actions/target dates
				depts.
	Channels and processes for publishing information are established	G	Digital Strategy	Processes for publishing DFID information to be reviewed against the replacement for the Government Protective Marking System
	A pragmatic migration approach for publishing data is established	G	Open Data Strategy	
Principle 7 - Citizens and Businesses Can Access Information About Themselves				Enabling further access by citizens and businesses to be considered on the basis of need, efficiency and compliance and reflected in the Digital Strategy
	A framework is in place for responding to legal obligations regarding citizens' access to information about themselves and how it has been used	G	Personal Information Charter Open Data Strategy	

Principle	Implication	Aligned G: Green A: Amber	Reference	Further actions/target dates
	Going beyond the legal obligations, opportunities are identified to proactively make information about citizens available to them by default	G	Open Data Strategy Digital Strategy	
	The approach to discovering information about a person is established	G		
	A pragmatic migration approach is established for enabling citizens' to access information about themselves	A	Digital Strategy	