UK Export Finance IMA Action Plan

R1	UKEF to define an overall strategic vision and set of goals for the management, protection and exploitation of its information and records, centred on the digital continuity principles of **availability**, **completeness** and **usability**.

This **priority recommendation** would be supported by:

- Developing a communication plan to encourage greater understanding as the organisation seeks to embed digitally-based information and records management.
- Alignment with the department's overall vision "to benefit the UK economy by delivering the best possible professional service to UK exporters".
- Ensuring that the strategy explicitly covers existing as well as newly created information and records.
- Ensuring that goals are time bound and the strategy is accompanied by an implementation plan with measurable milestones.
- Engaging the IAO network and using existing management structures such as team briefings to encourage buy-in.

R1 Actions	Priority: High/Low / Medium	Owner	Due for completion	Current status	Observations
Action 1.1 Complete Information Management Strategy to be reviewed by TNA and signed off by the Executive Committee	High	DRO	14 Nov 2014	Completed	Information Strategy reviewed by TNA.
Action 1.2 Develop a comms plan	Medium	DRO	March 2015	In Draft	

R2	UKEF to ensure that it establishes through its information strategy or other means a clear statement of ambition in relation to compliance with the Freedom of Information Act, open data requirements and the government's transparency agenda.

This would be supported by:

- Alignment with the department's objective of increasing its profile and awareness of the services it provides.
- A review of recent performance against FOI targets to ensure the reason for varying response times is understood.

R2 Actions	Priority: High/Low	Owner	Due for completion	Status	Observations

	Priority: High/Low / Medium	Owner	Due for completion	Status	Observations
Action 2.1 New Quarterly performance update to EC introduced	Medium	CXO	30 Nov 2014	Completed	FOI Dashboard developed to provide overview of performance
Action 2.2 Update process for publishing FOI responses	Medium	CXO	31 March 2015	In Draft	Paper in draft
Action 2.3 Update Information Charter and publish Information Strategy	Medium	DRO	14 Nov 2014	Charter updated and strategy completed	Information Strategy signed off by Executive Committee

R3	UKEF to build on the foundations already in place for information asset governance, reviewing the level at which it defines its information assets and developing an information asset register in line with digital continuity guidance to support their management over time and through change.

This would be supported by:

- Basing the information asset register on standard information types, such as those used for the creation of metadata fields or retention schedules.

- Using the Information Asset Register to document usage requirements (for finding, opening, trusting, understanding or working with information assets), value, risks and opportunities for exploitation.

- Using the information asset register to document how technology currently supports UKEF to use its information assets.

- Using this information as the basis to review the suitability of current technology provision, identifying technology related risks and areas where technology is no longer required.

- Ensuring that core principles relating to information asset governance are consistently expressed across all relevant policy, guidance and other documentation such as information risk appetite statements.

R3 Actions	Priority: High/Low / Medium	Owner	Due for completion	Status	Observations
Action 3.1 Update the format of the Information Asset	Medium	IMSO	11 Sept 2014	Completed	IAR updated. Carrying out

Register (IAR)					preliminary reviews with IAOs prior to TNA workshop
Action 3.2 Provide update on information management to Senior Management Team	Medium	IMSO	11 Sept 2014	Completed	Presentation given and quick reference guide distributed to all Senior Managers
Action 3.3 Run workshops with IAOs	Medium	IMSO	31 Dec 2014	Completed	TNA IAR workshop.Most IAO's attended together with their supporting staff.
Action 3.4 Complete IAR with output from workshops	Medium	IMSO	31 March 2015	Three Phased project	Training and induction completed. UKEF divisions engaged. Cataloguing of information assets started.

R4	UKEF to continue to support the ECMS project and to provide a technology environment that supports the lifecycle management of digital information and records and enables their protection and exploitation.

This **priority recommendation** should be recognised as **a core information strategy aim**. It would be supported by:

- Defining key actions relating to data management and digital disposal to enable the retention of valuable information and records and deletion of ephemeral content across all corporate repositories including the shared drives and ECM.

- Establishing appropriate functional limits on personal repositories including inboxes to encourage corporate storage and reduce the risk of instability, inaccessibility or loss.

- Reviewing the use and structure of the shared drives and applying proportionate management rules. UKEF should liaise with The National Archives in relation to any blanket disposal decisions to be applied to the information stored within them.

R4 Actions	Priority: High/Low / Medium	Owner	Due for completion	Status	Observations
Action 4.1 Review requirements for data management and digital disposal and produce options paper for electronic records management	High	DRO	31 Mar 2015	Paper in draft	Draft paper to Executive Committee
Action 4.2 Establish limits on personal repostiroies including inboxes	Low	DRO	31 Mar 2015	Drafted	Electronic document and records management now on

					the operational plan. Initial presentation to Senior Management .
Action 4.3 Review the structure of the shared drives	Medium	IMSO	31 Mar 2015	Not started	

R5	UKEF to ensure that it expedites the production of a mutually supportive and user-focussed suite of policy and guidance documentation that defines clear requirements for digitally based information and records management.

This **priority recommendation** should be recognised **as a core information strategy aim**. It would be supported by:

- Providing a clear, business focussed statement of information's importance to UKEF and the need for it to be managed, protected and exploited in line with its value.

- Updating linked policies and guidance such as the Information Security Risk Management policy to reflect new requirements for information and records management.

- Ensuring policy and guidance places a particular emphasis on known factors in information and records management related risks including cultural- as well as technology-based causes.

R5 Actions	Priority: High/Low / Medium	Owner	Due for completion	Status	Observations
Action 5.1 Review records management policy to be signed off by Executive Committee (EC)	High	DRO	14 November 2014	Completed	Completed
Action 5.2 Review information and records management related risks and ensure these are incorporated in the operational risk register	High	DRO	30 Sept 2014	Completed	New operational risk register adopted following series of risk workshops chaired by SIRO
Action 5.3 Update linked policies to reflect new requirements for information and records management	High	DRO	30 Sept 2014	Completed	Policies updated and published internally

R6	UKEF to ensure increased emphasis is given to information and records management related risks as new policy and new digitally-based ways of

working are adopted and embedded.

This would be supported by:

- Giving specific emphasis to information and records management and information exploitation related risks within the operational risk register. The potential causes (including cultural as well as technology-based factors) and effects of these risks should be clearly defined and visible.
- Reviewing the impact and likelihood of these risks in light of the move away from the department's historic print to paper approach for records and reflecting this in the department's information risk appetite statement.

R6 Actions	Priority: High/Low / Medium	Owner	Due for completion	Status	Observations
Action 6.1 Review the operational risk register	Medium	DRO	30 Sep 2014	Completed	Risk register reviewed and updated
Action 6.2 Update the information risk appetite statement	Medium	DRO	30 Nov 2014	Completed	Risk appetite statement updated using information from updated risk register

R7 — UKEF to define performance indicators for information and records management to support understanding of progress towards information goals together with reporting requirements.

This would be supported by:

- Establishing reporting criteria for the information strategy and identifying how frequently progress needs to be reported.
- Defining the Security Committee (SC) 's role in terms of monitoring digitally-based information and records management performance as the historic print to paper policy is abandoned. UKEF should ensure that related risks are given priority by the SC and Internal Audit and the department's IAOs and that escalation routes are in place to raise concerns.
- A review of the DRMO role to identify how it can be best used to encourage good practice in digitally-based information and records management and support IAOs to discharge their responsibility. UKEF should in particular identify what metrics DRMOs could report on to increase oversight, promote good practice and identify risks.

- A review of current governance and reporting lines to ensure the SIRO has the necessary oversight to understand progress in managing this group of risks.

R7 Actions	Priority: High/Low / Medium	Owner	Due for completion	Status	Observations
Action 7.1 Review current governance structure	Medium	DRO	31 Dec 2014	Started	Working with IAAD to ensure involvement of Audit Committee
Action 7.2 Review the Security Committee (SC) terms of reference to include information and records management responsibilities and to enable review of information management srtrategy	Medium	DRO	30 Sep 2014	Completed	New SC terms of reference in place and quarterly meetings taking place
Action 7.3 Review DRMO role in light of move to electronic records management	Medium	IMSO	31 Mar 2015	Not started	

| R8 | UKEF to utilise The National Archives support and guidance in the development of retention schedules for digital disposal, and work to embed disposal according to value as a business as usual activity. |

This would be supported by:

- Liaising with the business in the development of tailored retention periods.
- Establishing an enforceable mandate within policy and guidance on required behaviours and consistency around key processes such as file and folder set up and closure, with clear triggers for disposal.
- Regularly reviewing the Official Selection Policy (OSP) and ensuring that it is publicised within the department so that records sets with potential historic value can be routinely identified at the start of projects.
- The definition of a long-term plan for the on-going review and appraisal of records in all formats.

R8 Actions	Priority: High/Low / Medium	Owner	Due for completion	Status	Observations
Action 8.1 Review the OSP	Medium	DRO	31 October 2014	Completed	Updated to include Direct

					Lending
Action 8.2 Devise a long term plan for ongoing review and appraisal of records in all formats	Medium	IMSO	31 Mar 2015	Not started	
Action 8.3 Develop a retention schedule for electronic records	Medium	DRO	31 Mar 2015	Not started	Introduction of electronic document and records management on the Operational Plan