

Northern Ireland Office Information Management Assessment (IMA) Action plan

<b>1</b>	<b>Northern Ireland Office (NIO) should build on the good work it has already done to establish a process for information asset management by fully embedding this across the organisation.</b>
[Commentary on progress against main recommendation heading]	
Commentary last updated:	

Enabling/supporting actions	Owner	Commentary on progress	Completion due	Status
Provide IAOs with definition of Info. Asset	Head of KIM		3 <sup>rd</sup> Quarter 2016	
Create 'Profile' of IAO with list of role responsibilities; circulate to IAOs and put a short note on the intranet	Head of KIM		3 <sup>rd</sup> Quarter 2016	
Liaise with Corporate Governance to verify completion of Information & Data Asset Registers (IDARs) by business areas	Head of KIM		Quarterly (always)	
Study populated IDARs to gain understanding are regarded by business areas as key groupings of valuable information. These findings should be assessed in comparison with Records Retention/Disposal Schedules	Head of KIM & Records Manager		1 <sup>st</sup> Quarter 2017	
Link up IAOs with TNA training. Invite TNA speaker to address Deputy Directors meeting	Head of KIM		4 <sup>th</sup> Quarter 2016	
Recommend via note to Directors that IAO responsibilities be recognised in Deputy Directors Annual Objectives	Head of KIM		1 <sup>st</sup> Quarter 2017	

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<b>2</b>	<b>NIO should take steps to ensure that it continues to provide a supportive environment for the management of digital information and records as it moves to a new IT platform.</b>
[Commentary on progress against main recommendation heading]	
Commentary last updated:	

<b>Enabling/supporting actions</b>	<b>Owner</b>	<b>Commentary on progress</b>	<b>Completion due</b>	<b>Status</b>
Continue to remind staff of the need to save records to TRIM, through advice on intranet, requests to line managers & Deputy-Directors and messages linked to NIO activities/events	Head of KIM		On-going	
Continue routine guidance (via intranet, through briefings to Business Areas and in training sessions) on records naming	K&IM team		On-going	
Ensure Systems Administrator has oversight of Google Drive to monitor staff use	Head of KIM & System Administrator		2 <sup>nd</sup> Quarter 2016	COMPLETED
Gather statistics on use of Google Drive (c.f. use of TRIM); provide Deputy-Directors and LIMs with stats on records creation by Business Area to underline their responsibility for creating corporate records	System Administrator		On-going	
Liaise with ITAssist to ensure awareness of any problems of staff access to TRIM, such as on mobile devices	System Administrator		On-going	

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Engage with Cabinet Office (and Head of Estates & Services) on IT Strategy	KIM Head & Deputy Head; System Administrator		On-going	
Liaise with ITAssist & HP on availability of TRIM compatible with Google products	Head of KIM; System Administrator		3 <sup>rd</sup> Quarter 2016	
Draft Note to Board on limiting shared mailboxes recommending 180 day deletion	Head of KIM		3 <sup>rd</sup> Quarter 2016	
Continue work on “flattening” Corporate File Plan by removing Level 2 and Level 3 Folders	System Administrator	Additional Classifications created; Level 3 Folders now closed; contents being moved	3 <sup>rd</sup> Quarter 2017	
Enable automatic disposal within TRIM, based on date triggers and in accordance with sanctioned Disposal Schedules	Head of KIM & System Administrator		4 <sup>th</sup> Quarter 2017	
Review and refresh LIM training & guidance in light of new IT; re-activate LIM Forum; ensure LIMs act as first point of contact in providing information management assistance to staff	System Administrator		3 <sup>rd</sup> Quarter 2016	
All aspects of the implementation of the CFP re-structure will be progressed as per the KIM Strategy	Head of KIM		4 <sup>th</sup> Quarter 2017	

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<b>3</b>	<b>NIO should take steps to ensure that its digital information remains complete, available and usable for as long as it needs it to be.</b>
[Commentary on progress against main recommendation heading]	
Commentary last updated:	

Enabling/supporting actions	Owner	Commentary on progress	Completion due	Status
Review Information Management Policy to ensure it includes statement of requirements for information capture and retention in EDRMS (that information must remain complete, available and usable)	Head of KIM		4 <sup>th</sup> Quarter 2016	
Complete Corporate File Plan re-structure, enabling open access to most of the File Plan	System Administrator		4 <sup>th</sup> Quarter 2017	
Negotiate with ITAC to gain detailed profile of shared drives; include use of DROID software	Head of KIM & System Administrator		1 <sup>st</sup> Quarter 2017	
Devise plan for appraisal and disposal of information in retained shared drives	Head of KIM & System Administrator		1 <sup>st</sup> Quarter 2017	
Ensure TRIM is regularly upgraded by IT Assist (in-line with their NICS clients); continue to monitor currency, availability and accessibility of all NIO information	Head of KIM & System Administrator		On-going	

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<b>4</b>	<b>NIO needs to ensure that information risks are properly understood across the organisation especially at Board level and are recorded, monitored and mitigated as part of the risk management framework.</b>
[Commentary on progress against main recommendation heading]	
Commentary last updated:	

Enabling/supporting actions	Owner	Commentary on progress	Completion due	Status
Provide Board with Brief on information risks both generally and in association with the shift to new IT and flexible working	Head of KIM		3 <sup>rd</sup> Quarter 2016	
Arrange TNA speaker to Board to discuss information risk	Head of KIM	Scheduled	July 2016	
Review Risk Management Policies to ensure information risk is adequately covered	Head of KIM with Head of Corporate Governance	In progress	4 <sup>th</sup> Quarter 2016	
Work with Corporate Governance to assess how well information risk is identified and addressed in Risk Registers; consider how best to approach business areas to assist them with completing Risk Registers	Head of KIM with Head of Corporate Governance		1 <sup>st</sup> Quarter 2017	
Review how information risk has been managed in other departments – ask IMC to provide introductions to ‘opposite numbers’ in MOD, Home Office, DfE and others	Head of KIM & IMC (TNA)		4 <sup>th</sup> Quarter 2016	

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<b>5</b>	<b>As it moves towards a new IT environment and more open and flexible working, NIO needs to update its information and records management policies, guidance and training accordingly and ensure that it has the right staff in place to support this. It would also benefit from exploring ways of measuring compliance with policy and guidance.</b>
[Commentary on progress against main recommendation heading]	
Commentary last updated:	

Enabling/supporting actions	Owner	Commentary on progress	Completion due	Status
Review Information Management Policy in the context of the changes to IT and work practice, to ensure it contains clear guidance relating to flexible/remote working and to the use on multiple applications; issue reminders to staff via intranet (with link to guidance)	Head of KIM		4 <sup>th</sup> Quarter 2016	
Ensure Local Information Manager (LIM) responsibilities are incorporated in their annual performance objectives; enlist support of HR; promote this to line managers and by direct reminders to LIMs	Head of KIM & System Administrator		2 <sup>nd</sup> Quarter 2017	
Use targeted training to ensure LIMs are competent Google users as well as being proficient in TRIM	Head of KIM & System Administrator		4 <sup>th</sup> Quarter 2016	
Review LIM role description; ensure LIMs promote saving to TRIM in their business areas	Head of KIM & System Administrator		3 <sup>rd</sup> Quarter 2016	

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Continue to promote Head Start Scheme (for joiners/movers/leavers) – promoting it via intranet; reinforcing it with line managers. Review effectiveness of existing scheme.	Records Manager		2 <sup>nd</sup> Quarter 2017	
Complete review of Retention Schedules; publish Schedules on NIO internet site, as well as the intranet	Head of KIM & Records Manager		2 <sup>nd</sup> Quarter 2017	
Re-circulate guidance on Secure Remote Working to remind staff and to inform new staff of their responsibilities to handle information appropriately	Head of KIM & Information Assurance Co-ordinator		3 <sup>rd</sup> Quarter 2016	
Ensure new staff have completed the mandatory training in information handling	Information Assurance Co-ordinator		3 <sup>rd</sup> Quarter 2016	
Review TRIM training modules; refresh TRIM guidance; run TRIM “train the trainer” sessions for all R&IM staff to create a greater TRIM training resource	Head of KIM & System Administrator		1 <sup>st</sup> Quarter 2017	
Provide targeted records & information handling and TRIM training to new staff	KIM Head & Deputy Head; System Administrator		Ongoing (focus on 2016)	
Continue to look/press for suitable IT training venues	Head of KIM		Ongoing (focus on 2016)	
Undertake TRIM audits to monitor volumes of records created, finalised and closed	System Administrator		Ongoing (bi-annually)	
Explore ways of monitoring business area compliance with information management policy	Head of KIM		2 <sup>nd</sup> Quarter 2017	
Begin discussions with colleagues in other government departments in order to devise a process for benchmarking NIO information management processes and compliance	KIM Head & Deputy Head		3 <sup>rd</sup> Quarter 2016	

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<b>6</b>	<b>NIO should review its current approach to appraisal, selection, sensitivity review and transfer of its paper files to ensure that it can keep pace with the transition to the 20 year rule.</b>
[Commentary on progress against main recommendation heading]	
Commentary last updated:	

<b>Enabling/supporting actions</b>	<b>Owner</b>	<b>Commentary on progress</b>	<b>Completion due</b>	<b>Status</b>
Devise process to document the knowledge of the sensitivity reviewers: particularly selection criteria for records retention	Reviewers	Work commenced with "A Guide to Sensitivity Review in the Northern Ireland Office"	4 <sup>th</sup> Quarter 2016	
Develop more 'streamlined' approach to records appraisal: classing records to facilitate two-speed appraisals & review of certain groups of records by Records staff, enabling reviewer time to be focused on records of greater sensitivity	KIM Deputy Head; Reviewers; IMC		4 <sup>th</sup> Quarter 2016	
Develop out-sourced or partnered solutions for basic file preparation work in order to free Records staff for more skilled review work	KIM Deputy Head; Records Manager		1 <sup>st</sup> Quarter 2017	
Increase reviewer resource	KIM Deputy Head		2 <sup>nd</sup> Quarter 2017	



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<b>7</b>	<b>NIO needs to start developing an approach for the appraisal, selection, sensitivity review and transfer of its digital information.</b>
[Commentary on progress against main recommendation heading]	
Commentary last updated:	

Enabling/supporting actions	Owner	Commentary on progress	Completion due	Status
Liaise with IMC to acquire knowledge on digital continuity; include TNA training and guidance, engagement with other govt. departments and discussions with those who have tested new tools for digital transfers	Head of KIM & IMC		4 <sup>th</sup> Quarter 2016	
Identify issues around managing transfers of sensitive digital records, including tools and methods for sensitivity review	Head of KIM		1 <sup>st</sup> Quarter 2017	
Re-structure R&IM team to deploy greater resources in electronic records management	Head of KIM & System Administrator		3 <sup>rd</sup> Quarter 2017	
Develop roadmap for digital transfers	Head of KIM		1 <sup>st</sup> Quarter 2017	
Negotiate with ITAC to use DROID software on NIO records holdings	Head of KIM & System Administrator		3 <sup>rd</sup> Quarter 2017	
Engage with TNA to access digital transfer training for R&IM staff	Head of KIM		3 <sup>rd</sup> Quarter 2017	