

Welsh Government IMA Action Plan								
Priority Recommendations								
R1	Develop and implement an Information Strategy for Welsh Government that sets goals for the protection, management and exploitation of information, and the technology that supports it. The strategy should place a clear emphasis on developing and maintaining the right culture and leadership needed to achieve this.							
	R1 Actions	Priority: High/Low/ Medium	Owner	Due for completion	Interim milestones	RAG Status	Observations	Sir Alex Alan Review Recommendations
	Action 1.1 Develop an Information Strategy for the Welsh Government	High	Steven Marshall	2015 07 31				
	Action 1.2 Align Information Management Strategy with IT strategy	High	Crispin O'Connell / Steven Marshall	2015 10 31				
	Action 1.3 Secure Permanent Secretary and Operations Group sign-off for the Information Strategy	Medium	Steven Marshall/Caren Fullerton	2015 07 31				
	Action 1.4 Produce Information Management Strategy implementation plan and review quarterly	Medium	Steven Marshall/Caren Fullerton	2015 07 31				
	Action 1.5 Develop Information Management KPIs and balance scorecard and monitor quarterly	Medium	Steven Marshall	Q2 2015-16				
	Action 1.6 Develop a Behavioural Change Strategy - with SCS endorsement - and address cultural barriers to good information and records management	Low	Steven Marshall/Caren Fullerton/Marlize Palmer	2015 04 30				
R2	Review and revise the Welsh Government Code of Practice on Access to (and Re-use of) Information							
	R2 Actions	Priority: High/Low/ Medium	Owner	Due for completion	Interim Milestones	RAG Status	Observations	Sir Alex Allan recommendations

	Action 2.1 Review and revise the Welsh Government Code of Practice on Access to (and Re-use of) Information	Medium	Andrew Dobbs	2015 04 30				
	Action 2.2 Compile and publish lists of 'information assets and/or datasets' available for re-use under the Open Government Licence	High	IAOs/DKIMS	2015 10 31				
	Action 2.3 Develop and implement and Open Data Strategy for the Welsh Government	High	Bill Oates	2015 06 30				
	Action 2.4 Monitor our Open Data commitments and report it to the Board	Medium	Business Units/Communications (Natalie Pearson)	Q2 2015-16				
	Action 2.5 Define the Welsh Government's "public task" and publish statement on Welsh Government's intranet and websites.	Medium	Steven Marshall	2015 10 31				
R3 Also see R11	Review and revise guidance documentation covering the governance of information assets, ensuring that definitions and requirements are clearly established and conveyed across supporting and linked policy and guidance.							
	R3 Actions	Priority: High/Low/ Medium	Owner	Due for completion	Interim Milestones	RAG Status	Observations	Sir Alex Allan's recommendations

	Action 3.1 Review and revise guidance documentation covering the governance of information assets	Medium	Michael Hearty (as SIRO); IAO; Kathryn Jenkins & Marlice Palmer (information and records management elements)	2015 05 31				
	Action 3.2 Clarify IAOs responsibilities in relation to disposal (see also recommendation 11) in all policy and guidance documents	High	DKIMS & IAOs	2015 11 30				
	Action 3.3 Review and update the Welsh Government's Information Security policy to provide clear roles for information asset management and governance functions in monitoring and managing information risks	High	Kathryn Jenkins	2015 04 30				
R4	Review the structure and use of the current IAR template to ensure it can be used as an effective management tool.							
	R4 Actions	Priority: High/Low/ Medium	Owner	Due for completion	Interim Milestones	RAG Status	Observations	Sir Alex Allan's recommendations
	Action 4.1 Update and refresh the IAR to capture a number of key pieces of information including retention and digital continuity of information in line with TNA advice and guidance.	High	IAOs (Steven Marshall /Marlice Palmer to provide the "advice")	2015 12 31				

	Action 4.2 Reflect risk appetite and rankings within the IAR.	High	IAOs	2015 12 31				
	Action 4.3 Identifying IAOs for all information assets within existing line of business systems	High	Michael Hearty (SIRO to oversee); DGs & IAOs	2015 12 31				
	Action 4.4 Ensure that the WG retention and disposal schedule is implemented for digital information in ICT systems such as SAP and shared drives.	High	Michael Hearty (SIRO to oversee); IAOs, ICT (Crispin O'Connell & Michael Eaton) and IM (Steven Marshall / Marlize	2015 12 31				
R5	Take a transparent, auditable risk and value-based decision on the continued retention of Enterprise Vault, legacy shared drives and the information they contain.							
	R5 Actions	Priority: High/Low/ Medium	Owner	Due for completion	Interim Milestones	RAG Status	Observations	Sir Alex Allan's recommendations
	Action 5.1 Identify information with a long term business need and/or historical value on repositories outside iShare that needs to be retained, transfer information to iShare or R:drive and delete the rest	High	Crispin O'Connell & Marlize Palmer (Disposal schedule work)	2015 11 30				Departments have caches of legacy files that are not part of the departmental file plans and where the contents are often unclear. An audit to be undertaken and to be reported as part of TNA's Records Transfer Report and to the Lord Chancellor's Advisory Committee

	Action 5.2 Update the Welsh Government's Information Security Policy to provide a clear definition of an "information asset"	High	Kathryn Jenkins	2015 04 30				
	Action 5.3 Review and update macro appraisal policy to include "in-life" appraisal of digital records and information and expand to provide a clear statement on digital records held within and outside iShare	High	Marlize Palmer	2015 04 30	2015 04 30			
R6	Ensure proportionate controls are imposed on Microsoft Outlook accounts and other personal or unstructured repositories to encourage corporate storage of emails with value in the iShare Corporate File Plan.							
	R6 Actions	Priority: High/Low/ Medium	Owner	Due for completion	Interim Milestones	RAG Status	Observations	Sir Alex Allan recommendations
	Action 6.1 Introduce a 1GB limited for all standard mailboxes and all emails older than one year to be automatically deleted.	High	Steven Marshall / Marlize Palmer	2015 06 30				
	Action 6.2 Promote clear management rules to the business and support the culture change that will be necessitated by new ways of working required when controls are imposed.	Medium	tba (Steven Marshall / Natalie Pearson)	2015 07 31				
	Action 6.3 Move records and information with long term business need from shared drives to iShare, our EDRM.	Medium	Steven Marshall / Marlize Palmer	2015 10 31				

R7	Document a Digital Continuity plan in alignment with the overall Information Strategy and Vision for Welsh Government, to support the Availability, Completeness and Usability of information assets over time and through change.							
	R7 Actions	Priority: High/Low/ Medium	Owner	Due for completion	Interim Milestones	Status	Observations	Sir Alex Allan recommendations
	Action 7.1 Develop and implement Digital Continuity plan in alignment with the overall Information Management (IM) Strategy and the Welsh Government's ITC strategy.	High	Caren Fullerton / Crispin O'Connell, ICT / Steven Marshall / Janine Pepworth	2015 07 31				
R8	In line with the Welsh Government risk management framework, ensure a consistent approach to logging, tracking and managing information risks that have potential organisation-wide impacts including those relating to information and records management.							
	R8 Actions	Priority: High/Low/ Medium	Owner	Due for completion	Interim Milestones	Status	Observations	Sir Alex Allan's recommendations
	Action 8.1 Welsh Government SIRO to provide a clear definition of information risk, which particular emphasis on risk related to information and records management	High	Michael Hearty (SIRO) / David Richards / Kathryn Jenkins	2014 04 30				
	Action 8.2 Reference Welsh Government SIRO information risk appetite statement in a consistent manner in key documentation (such as information and records management policy and	High	Marlize Palmer / Katherine Jenkins (Aeddan Davies - Website & Social Media policies & Crispin O'Connell for ICT)	2014 04 30				
Action 8.3 Ensure that information management risks are logged, tracked and managed at departmental level and escalate to SIRO where		Departmental IAO's and DKIMS	2015 04 30					

	Action 8.4 Ensure that the Welsh Government's appetite concerning information and records management related risk is explicit	Medium	Steven Marshall / Kathryn Jenkins / Marlize Palmer	2015 04 30				
	Action 8.5 Report Record Transfer backlogs to SIRO and Operational Group. Also include in divisional risk register.	High	Marlize Palmer	2015 05 31				Where TNA's Record Transfer Reports reveal significant backlogs in a department's transfer programme, this should be reported to the department's board.
R9	Develop and embed new governance arrangements for information and records management							
	R9 Actions	Priority: High/Low/ Medium	Owner	Due for completion	Interim Milestones	Status	Observations	Sir Alex Allan's recommendations
	Action 9.1 KIM & Security Group and other information governance boards including IT governance boards to pay sufficient attention to information management.	High	Caren Fullerton / Steven Marshall / Crispin O'Connell	2015 04 30				
	Action 9.2 Revisit Departmental Knowledge and Information Manager (DKIM) role and align it with Information Management Strategy outcomes.	High	Caren Fullerton & IAOs	2015 06 30				
	Action 9.3 Review the RMSO role and establish a formal RMSO network.	Medium	Review of role - Steven Marshall	2015 06 30				
	Action 9.4 Introduce routine qualitative and quantitative reporting on information and records management performance to Operations Group	Medium	Caren Fullerton / Peter Kennedy	Q1 2015-16			Also see Action 5.1	
R10	Ensure staff can be clear what information has value and needs to be captured in iShare in support of the Welsh Government's retention and disposal policy.							

	R10 Actions	Priority: High/Low/ Medium	Owner	Due for completion	Interrim Milestones	Status	Observations	Sir Alex Allan's recommendations
	Action 10.1 Provide clear "What to keep" guidance on what information has value and needs to be captured iShare	Medium	IAOs / Marlize Palmer	2015 04 30				It is recommend that departments should publish retention or "what to keep" schedules, setting out their policies on what types of records to keep, and for how long.
	Action 10.2 Provide "What to keep" training which focuses on how to apply retention and disposal guidance in the iShare environment.	Medium	Marlize Palmer / Kate Strachan /Andy Parker	2015 06 30				
R11 Also see R3	Prioritise the routine closure of files within iShare together with the correct application of retention and disposal schedules.							
	R11 Actions	Priority: High/Low/ Medium	Owner	Due for completion	Interim Milestones	Status	Observations	Sir Alex Allan's recommendations
	Action 11.1 Establish a formal requirement for IAOs or business owners to assure the correct application of retention and disposal schedules within the Corporate File Plan	Medium	Marlize Palmer	2015 04 30				Departments have caches of legacy files that are not part of the departmental file plans and where the contents are often unclear. An audit to be undertaken and to be reported as part of TNA's Records Transfer Report and to the Lord Chancellor's Advisory Committee

	Action 11.2 Review the "trigger points" in iShare for disposal.	Medium	Marlize Palmer / Kate Strachan / Andy Parker with IAOs	2014 06 30				
	Action 11.3 Introduce a formal requirement for IAOs or business owners to assure the routine closure of iShare files in line with business cycles to support efficient operation of the EDRMS	Medium	Michael Hearty (as SIRO) / with IAOs & Marlize Palmer/Andy Parker	2015 07 31				Departments have caches of legacy files that are not part of the departmental file plans and where the contents are often unclear. An audit to be undertaken and to be reported as part of TNA's Records Transfer Report and to the Lord Chancellor's Advisory Committee
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R12	Provide documented principles for sensitivity review to reduce the risk of records being mishandled or transferred open when they should be closed.							
	R12 Actions	Priority: High/Low/ Medium	Owner	Due for completion	Interim Milestones	Status	Observations	Sir Alex Allan's recommendations
	Action 12.1 Provide a statement of what the Appraisal team members do when undertaking sensitivity reviews and procedure document.	High	Marlize Palmer	2015 04 30				

<p>Action 12.2 Set-up 'Records Review Panels' with senior oversight for digital transfers and sensitive materials. These should be proportionate to the volume of files transferred to TNA and the degree of sensitivity.</p>	<p>Low</p>	<p>Caren Fullerton / David Richards (Head of Governance) / Marlize Palmer</p>	<p>2015 03 31</p>				<p>It is recommended that departments should set-up 'Records Review Panels[1]' with senior oversight. These should be proportionate to the volume of files transferred to TNA and the degree of sensitivity.</p>
<p>Action 12.3 Set up a review into the strategy for managing digital records and digital sensitivity review.</p>	<p>Medium</p>	<p>Steven Marshall / Marlize Palmer / Janine Pepworth</p>	<p>2015 09 30</p>				<p>Welsh Government should set up a review into the strategy for managing digital</p>