Chester-le-Street
District Council

Information Management Strategy
Document 3
Model Action Plan for Implementation

March 2006

Chester-Le-Street District Council Information Management Strategy

The Chester-le-Street Information Strategy comprises of three documents:

Document 1. Strategy Summary – sets out a plain English guide to the strategy
Document 2. Background and Key Messages – sets out the detail behind the strategy
Document 3. Model Action Plan – sets out a living action plan to deliver the Strategy

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1   Introduction

1.1   This document accompanies the Information Management Strategy and sets out a Model Action Plan to introduce Information Management throughout the Authority. The plan is designed to be a living document as it is felt difficult to put clear deadlines on completion of key tasks. This is because the Strategy is a transformational one which seeks incremental improvement in Information Managemen and because the council would need to put certain management arrangements in place before it addresses key activities. The Strategy provides flexibility for the council to make choices about where and at what time the council will invests further in information management. This document provides:

- a Time-line within the action plan to address relevant Priority Service Outcomes;
- the actions required across the authority to implement Information Management ; and
- the cross linking of Corporate Information Management with the Service Delivery streams in the Corporate Plan

1.2   The Lord Chancellor's Code of Practice on the Management of Records under Freedom of Information was issued in accordance with the requirements of section 46 of the Freedom of Information Act 2000. The code was designed to support the objectives of Freedom of Information (FOI) legislation by setting out the practices which public authorities should follow in relation to creating, keeping, managing and disposing of their records. This Action Plan follows guidance from the Information Commissioner and employs much of ISO 15489 which is Priority Service Outcome G19.

1.3   Underpinning most of this work at Chester-le-Street will be the process employed by ISO 15489 - methodology for Electronic Document Records Management (ERDM). Records can be described as – Information created, received and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.

1.4   This document should not be set in a tablet of stone, the need to review and amend is crucial to provide the capacity to change as the need arises. Any major review will be reported as required at the appropriate level. Indeed the Action Plan is a transitional programme of change which has the flexibility to consider appropriate courses of action in the key stages of progress made.

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2 Chester-le-Street's Progress so far

2.1 The Information Management project commenced on the 28th September 2005 as part of a much wider programme of work dealing with E-Government and Modernisation. This project was identified early as a key task and consultant resources made available immediately.

2.2 Every member of staff in the Council has a level of involvement with Information Management and records, whether this means:

- creating records
- using records to assist in service delivery
- being the record subject (payslips, leave forms etc); or
- a combination of the above

2.3 Information Management in Chester-le-Street will mean ensuring that sufficient records to support business functions are well maintained in accessible but secure systems and that redundant records' are always destroyed in compliance with agreed retention schedule to prevent misuse of information. The term 'Records' applies to records in any format or media, created or received by Chester-le-Street in the course of its activities. This therefore includes the management of all electronic records (e-mail messages and attachments, word documents, PowerPoint presentations etc) as well as paper documents.
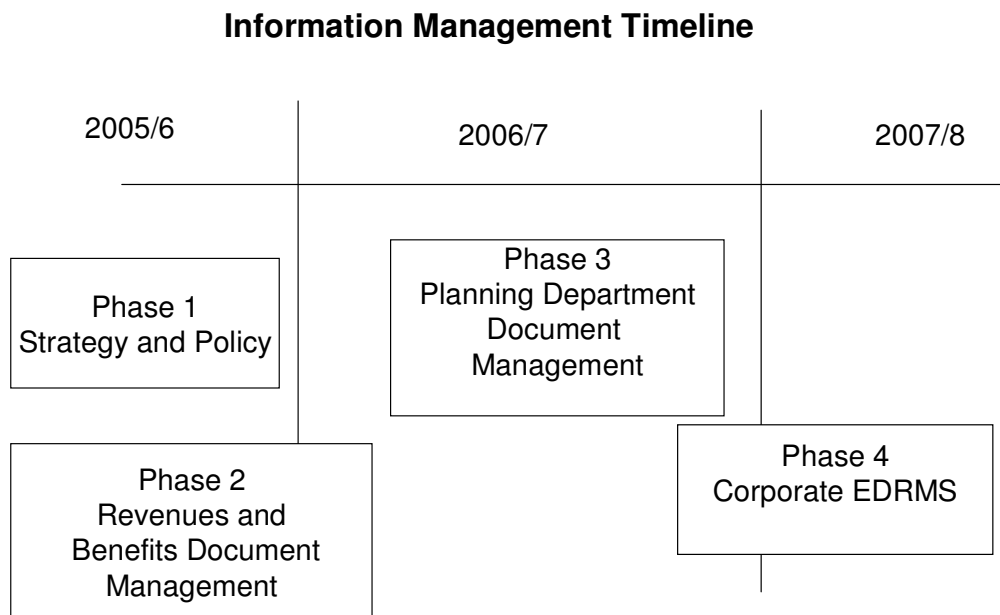
3 Legislative Requirements

3.1 Section 224 of the Local Government Act 1972, requires local authorities to make proper arrangements in respect of the records they create.

3.2 The Freedom of Information Act 2000, requires information to be made available to the public within 20 working days of a request. This could be a request about anything in which Chester-le-Street has had a role. To respond, the Council must be able to produce the information, if not exempt from disclosure.

4 Key Strategy Actions

4.1 The report of the Advisory Group on Openness in the Public Sector (December 1999) recommended that all public authorities should develop Information and Records Management action plans detailing the steps which they will take to reach the standards set out in the Code of Practice.

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4.2   The following diagram sets out a suggested time line map for Information
        Management

Information Management Timeline

2005/6	2006/7	2007/8

Phase 1
Strategy and Policy

Phase 3
Planning Department
Document
Management

Phase 2
Revenues and
Benefits Document
Management

Phase 4
Corporate EDRMS

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5   Focus

5.1   The plan focuses on the actions required to prepare Information and Records Management practices. Many of the actions are similar to those required in preparing for electronic service delivery by 2005 - successful delivery of electronic services is underpinned by an effective infrastructure which includes the creation and management of records created in the course of service delivery.

5.2   It is suggested that a corporate records management system (EDRMS) be implemented rather than modifying existing systems, to achieve simple access to information (where appropriate). Clearly there will need to be adequate and effective security safeguards.   Any solutions must be appropriate to the needs of the relevant department, subject to the overriding requirements of FOIA and DPA. Any Information Records Management system must have ease of access as a key priority. Delivering improved access to services for customers is every bit as important as meeting the requirements of Section 46 of FOIA.

5.3   Project phase 1 has several deliverables before the end of summer 2006:
   a) An Information Management Strategy by March 2006
   b) An Information Policy by May 2006
   c) A Records Management Policy by May 2006
   d) An Email as Records Policy by May 2006
   e) A draft Fileplan Retention Schedule (almost complete)
   f) An Information Stock take (almost complete)

5.4   The information stock take will require staff to carry out a document type audit within each section, this will form part of the business case for an EDRMS and provide supporting evidence that this Action Plan has identified the correct area to commence the corporate approach.   The information stock take will facilitate the creation of a records retention schedule.   Departments will have the opportunity to rationalise their record management function by removing any non-applicable records, or marking them for archiving/removal.

5.5   The Retention Schedule will also assist in developing a suitable classification policy in relation to District Council services; this will assist in grouping together information etc.

5.6   Phase 1 of the action plan is being managed by the Assistant Chief Executive.

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6 Structure of the Key Strategy Actions

6.1 The Plan has been designed taking into account firstly the needs of the customer, secondly the needs of the District Council, and thirdly the requirements of any legislation. Four key milestones exist:-

Phase 1 - Information Management Strategy and associated policies (see 5.3 above)
Phase 2 – Revenues and Benefits (Model Office) delivery
Phase 3 - Corporate EDRMS Project (Planning Office)
Phase 4 – Corporate Implementation of EDRMS

6.2 By agreeing the Information Management Strategy the council is embarking on the path towards Corporate Governance. It will provide a platform for all the information needs of all stakeholders. The council will be able to demonstrate its compliance with the opening questions in the ISO 15489 requirements of Priority Outcome G19. It is intended that Key decisions are made after the completion of Phase 2, based on the learning achieved in the previous phases and the resource implications of the next phase.

6.3 Phase 2 has already commenced as part of the DWP funding of improvements in Revenues and Benefits. Before choosing the supplier of the Document Management solution Chester-le-Street investigated the possibility of using the solution as a pre-cursor to a Corporate Electronic Documents and Records Management System (EDRMS) On the basis of those discussions this is very achievable. There will be some valuable lessons to be learnt from just implementing Scanning and Document Management inside the Revenues & Benefits service.

6.4 The identification of the department for Phase 3 has been considered on the following basis:

▪ That the largest paper holdings anywhere in the authority reside with Planning. They have a paper evidence trail back to 1974 when the authority was created.

▪ The Planning Department have access to significant external funding which can be used to improve performance not only in Planning but act as a catalyst for a Corporate EDRMS.

6.5 Phase 4 will rollout the EDRMS corporately to staff and members. The timing of this work should coincide with the introduction of the CRM.

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7   Cost and Benefits

7.1   It is difficult to give definitive quidance on the actual costs and financial benefits to the council by implementing the Strategy and action plan. A full business case will need to be developed for each individual phase of the Strategy. This will include procurement options.

7.2   Likely costs that may be incurred will include those set out below

7.3   External

One off Costs
Hardware
Software
Consultancy
Project Management

On-going costs
Hardware and Software Maintenance (17% of Licence fee)

7.4   Internal

One off Costs
Project Management

Consultancy
Corporate Scanning setup
Management of Change
Training

On going costs
ICT Support
Departmental staff
Records Manager or corporate solution to records manager

7.4   However the strategic benefits are:

- Improves relationship with the customer
- Enables business to be conducted in an orderly, efficient and accountable manner
- Support and document policy formation and managerial decision making
- Enables Chester-le-Street to meet legislative and regulatory requirements

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- Protects the interests of the organisation
- Maintains the corporate memory and establishes business identity
- Optimises the use of information as a business asset and resource
- Improved Staff morale
- Supports Chester-le-Street in relation to Best Value and CPA

7.5   Additional benefits which result from electronic information management are:

- Improved access to vital records, saving time and energy
- Release of office space as electronic management usage increases
- Future possible cost savings in relation to paper/storage costs
- Reduction in document vulnerability
- Improved Business Recovery Possible
- Provide consistency, continuity and productivity in management and administration
- Greater Audit potential

7.5   As indicated above it is not possible to quantify the financial implications of these benefits. They are however considered to be significant to the organisation. For example research has shown that:

- **10-15% of an Organisation's revenues are spent creating, managing and distributing documents**
- **60% of people's time is spent working with documents**
- **75-85% of business documents exist in paper form**
- **The average document is copied 5 times.**
- **The average worker spends 50-80% of their time looking for information required to support their job function**

7.6   Again research has shown the following potential indicative savings;

- **Employee Throughput Increase**   **25% - 30%**

- **Transaction Time Reductions**   **50% - 90%**

- **Typical Telephone Enquiry Time Reduction** **about 50%**

- **Productivity Improvements**   **50% - 100%**

- **Paper Handling Reduction**   **30% - 70%**

- **Employee Turnover Reduction**   **about 80%**

- **Investment return in 12 to 24 months**

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7.7   It is not suggested that the implementation of the Strategy will achieve such savings and assessment of this will be part of individual business cases. However the potential for significant efficiency savings is considered to be real and achievable. Consideration has been given to whether Phase 4 of the Model Action Plan timeline could be brought forward to materialise savings earlier. However it is considered that in view of the up front resource required, particularly in officer time this could seriously undermine the council's priorities for the 2006/2007. It is not therefore considered to be appropriate and the timeline as set out is more realistic in terms of the council's ability to deliver the Strategy.

8   Alignment of Information Management to the Corporate Plan

8.1   Electronic document and records management (EDRM) offers the potential for electronic capture, storage and management of literally every document generated or received by a council, including paper, reports, application files, emails, and web content. The technology offers the possibility of a single point of on-line access to all relevant information for whoever needs it, e.g. customer service operatives in contact centres and one-stop shops. Time spent on locating, copying or faxing physical files is reduced and significant savings are made on paper and filing costs. EDRM is about the better management of council information. EDRM technologies can be used to improve the way important documents are captured and stored, retrieved, managed and integrated with business processes. Having documents well ordered in one enterprise repository promotes good Information Management. The Corporate Plan was produced in 2005 and covers many aspects of community life for the citizens of Chester-le-Street. The document is very focussed on the relationship with the customer and changing the customer perception of the council. The plan currently uses only one section to describe inwardly looking objectives connected to efficiency.

8.2   As stated earlier the council has significant paper holdings in Planning, the Corporate Plan at page 34 also recognises the improvement made to the Planning Service. Further improvement can be achieved when an EDRMS is applied to the evidential part of the planning process.

8.3   On page 40 of the Corporate Plan it describes areas where Chester-le-Street has not been able to achieve its goals and why. Major Planning decisions are always based upon large amounts of evidence created by the developer and various parts of the planning department. With regular

changes to documents it is hard to keep track of which version is current eg a draft section 106. Good information management practice should ensure that officers can work at maximum efficiency.

8.4   In the area of Corporate Governance the Corporate Plan makes reference to "a strong, excellent council" on page 41. Information Management is about Corporate Governance, having a sound management team, that is easy to do business with and can exploit its technology investment. This message is repeated on Page 45 of the Corporate Plan.

8.5   The Corporate Plan makes no specific mention of Information Management outside the Improvement and Recovery Plan yet it is the lifeblood of all council processes. Information is an asset of the council and needs to be managed just like any other assets; buildings, people, finance etc. Paper records will always be around, but their role and our reliance on them will diminish over time

9   Lines of action

9.1   Outside the key area of the Priority Shared Outcomes the Strategy has developed six principal strategic lines of action to address the information aspects of the Chester-le-Street operational and business drivers and provide a framework for achieving the benefits and avoiding the penalties of the information age. The key implications are set out in the paragraphs below and more detailed issues set out in Appendix 1. A detailed action plan to address the Lines of action will be completed by **April 2007**. It is important to note that the delivery of this higher level action plan will depend on the council securing access to expertise to deliver it. One of the key messages within the Strategy Background and Key Messages Document is **the need to consider whether it requires an Information Management / Records Manager / Compliance Officer to administer and act as Information Champion with the council.** An unsuccessful growth bid was put forward for the 2006/2007 budget process. It will be necessary to address this issue to inform the 2007/2008 budget process in order implement the Lines of action proposals set out in Appendix 1.

9.2   Line of Action 1 -   Manage our Information.

Chester-le-Street information must be managed as a corporate asset within a structured framework. A systematic and structured approach to information management, including research and analytical processes,

will enable our information assets to be used productively. It will also assist in dealing with potential litigation action and provide support to the achievement of Chester-le-Street objectives, including its statutory obligations in respect of Public Records, public access under the Freedom of Information Act and Environmental Information Regulations.

In the future, Chester-le-Street information must be created in a way that facilitates its exploitation and our business processes, individual behaviours, training, and risk management approach must all reflect this. There must be a strategic assumption that all the council's information is shareable within an appropriate security framework.

The key to delivering this objective is to develop a better understanding of where decisions need to be made and of the supporting processes and information needs, for example, fulfilling the information requirements of the council's Performance Management process.

Underpinning much of this line of action will be the information life cycle which will be pragmatically and systematically applied to enable information management.

9.3   Line of Action 2 – Be Joined up internally and externally

Chester-le-Street must provide a range of information access and exchange services that support greater joined-up working between the constituent parts of the authority, external stakeholders and the rest of Government. Greater information accessibility within a better-connected environment can be achieved by various means, including:

a.   of fundamental importance, establishing a Chester-le-Street Information Asset Register / EDRMS   where Chester-le-Street-wide information can be shared within the stakeholder community;

b.   greater coherence of applications as common business and operational processes exploit the same best practice available from Commercial Off The Shelf (COTS) software, and data and other information standards unify to enable nuclear community exploitation.

The move to greater joined-up information must be accompanied by consideration of potential increased risk to operational and business processes. This is considered in Line of Action 6.

9.4   Line of Action 3 – Give our people the right skills and competencies

Chester-le-Street must ensure that it has access to appropriately skilled, competent, and well-motivated staff if it is to be able to implement the Chester-le-Street Information Management Strategy. Hence we must identify the specific skills required to implement the strategy.

This objective may well present the most significant implementation challenges, affecting the way that individuals and groups think and work; from the very highest levels of the Authority downwards.

Related to developing and sustaining changes to attitudes and culture is the issue of "knowledge", which is an attribute of people which enables them to make expert and effective judgements on the basis of the information, presented to them. Focused effort is needed to capture and exploit our peoples' experience, skills and competence levels to enable the council to improve its credentials in knowledge-based working.

9.5   Line of Action 4 - Establish an Information Governance

In order to exploit its information assets fully, Chester-le-Street must put in place an effective governance regime comprising management processes, structures, roles, responsibilities, and control mechanisms to take forward the planning and management of the constituent parts, as well as the totality, of the Information Management Strategy. The governance framework must be capable of allowing information requirements to be captured; enabling investment priorities to be determined based on quality planning information, so that the right decisions are made concerning the investments in information capabilities; and providing support for the procurement of information capabilities in a timely, cost-effective, coherent and controlled manner, without being overly specified. It must allow the resource needs of the Strategy to be identified and prioritised. It must also allow the impact of the Information Management Strategy on the Authority to be monitored and measured using meaningful performance indicators so that areas for improvement can be identified and acted upon.

Overall responsibility for the new information governance framework will rest with the Assistant Chief Executive, although its operation will be delegated as appropriate.

9.6   Line of Action 5 – Achieve Modernising Government Targets

In common with other public sector bodies, the council must meet Information Age Government targets for electronic service delivery as a means of improving the quality and availability of services to the public and to business.

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In addition, Chester-le-Street must also respond to other initiatives emanating from e-Government agenda.

In this, as with all of the other Lines of Development, it should be remembered that the focus is on information in the round, and not just on the technology aspects. Information, Records, documents, research, archives, and all information processes and resources must be deployed in achieving our objectives.

9.7   <u>Line of Action 6 – Establish the Risk Balance</u>

In moving towards the strategic outcome, the council must continue to balance the business benefits to be achieved from greater joined-up working with the inherent risk of operational and business information or activities being compromised as a result of connecting our systems into a larger and more diverse community of interests. Equally as we become increasingly dependent on information systems and technologies, provision will need to be made to judge and mitigate risks

Chester-le-Street must ensure that it has the means of monitoring threats to its information, and of detecting and responding quickly and effectively to incidents, including deliberate electronic attacks when they occur. These systems and procedures must address the full spectrum of Departmental activity, must be flexible and responsive to changes in the threat.

In so doing, business and operationally driven balances must be struck between exploiting the opportunities of the information, protecting our information and sustaining processes which rely on information. Judgements on the balance between sharing information, protection of information and maintaining robust services will have a profound impact on how the strategy is realised.

Appendix 1
Information Management Strategy
Action Plan for Implementation: Lines of Action

Line of Action:	Lead:
1 - MANAGE OUR INFORMATION	CGG

High-level Activity:	*return to High-level activities*
1.1 - Develop a set of information management principles to underpin the implementation of the Information Management Strategy	

Guiding Information Principle(s):

- Foci for Information Management and Knowledge Management

Primary Benefits addressed	Primary Penalties addressed
• efficient use of information;	• quality of decision-making. • exploiting information

Short Description: The principles will encompass all aspects of information management, from managing paper files and Public Records through to information content held on Web sites and Intranets, as well as the cultural issues associated with joint working and information sharing. They will exist within the ambit of the Chester-le-Street Information Management Strategy and provide a basis for influencing the strategic documents that business units are producing. They will also inform development of the Authority's approach to Information Management and architectural considerations in relation to Web sites, Intranets, Extranets and Electronic Document and Records Management.

Current Position: An IM strategy is proposed that will meet the needs of CHESTER-LE-STREET.

Issues:

- The IM strategy has yet to be accepted within the Authority. Senior Management must exercise some control over its acceptance.
- The role of Information Officers at various levels in the CLS hierarchy and the process by which they are appointed.

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Line of Action:	Lead:
1 - MANAGE OUR INFORMATION	CGG

High-level Activity:	*return to High-level activities*
1.2 Develop arrangements to exploit CLS information assets	

Guiding Information Principle(s):

• Foci for Information Management and Knowledge Management

Primary Benefits addressed	Primary Penalties addressed
• efficient use of information;	• quality of decision-making.
	• exploiting information.
	• loss of credibility and respect

Short Description: taking the necessary steps to recognise and exploit information assets coherently throughout the Authority. Disciplines will need to be adopted that manage the way in which information is stored, husbanded and made retrievable, as well as allowing information to be made available to decision-makers in a timely and appropriate manner.

Current Position: Work has commenced on the procurement of on Electronic Document and Records Management System within R&B. A key element of this solution will be the workflow control over business processes ensuring a consistent approach within the Authority.

Issues:

• Using meta-data to define archival properties, facilitating automatic archiving from a shared folder and common source databases.

• The cultural and organisational values need to be in place.

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Line of Action: **1 – MANAGE OUR INFORMATION**	**Lead:** CGG

High-level Activity:	*return to High-level activities*

| 1.3 Develop arrangements to enable the Authority to meet its obligations to provide improved public access to CLS information ||

Guiding Information Principle(s):

- Information assurance balance.

- Foci for Information Management and Knowledge Management

Primary Benefits addressed	**Primary Penalties addressed**
• efficient use of information;	• quality of decision-making. • exploiting information. • loss of credibility and respect

Short Description: As one aspect of the Information Management Strategy, the Authority should aim to achieve the electronic storage and retrieval of all newly created Public Records in line with Modernising Government targets for the electronic storage of records (by 2004) and the Public Records Office's strategy across Government for managing and accessing archived material. The use of Electronic Document Management (EDM) technology and related electronic media, conformant to the relevant standards should implemented by April 2007 and be considered as a key enabler to improving records management and the sharing of information. These works must consider the impact and implementation of legislation on Freedom of Information and Environmental Information Regulations.

Current Position: Work has commenced on the procurement of an EDRMS system in R&B.

Issues:

- Considerable investment in EDRMS technology will be required to meet records management requirements.

- Costs of maintaining records on multiple media, including paper.

- Capture and filing of Public Record-relevant information.

- The need for an Information Asset register.

Line of Action:	Lead:
1 - MANAGE OUR INFORMATION	CGG

High-level Activity:	*return to High-level activities*

1.4 - Develop tools and techniques to encourage more knowledge-based working.

Guiding Information Principle(s):

* foci for information and knowledge management

Primary Benefits addressed	**Primary Penalties addressed**
• personnel productivity and satisfaction;	• quality of decision-making. • exploiting information

Short Description: There is a need to exploit the collective knowledge base of the Authority in support of quicker and better quality decision-making, irrespective of the context. This activity will determine the Authority's approach to capturing and managing information, identify the barriers to implementation and develop a plan for implementing Information Management (IM) within the Authority. This will include promotion of a shared understanding of the IM concept within the Authority and establishment of appropriate governance arrangements for managing IM processes and the associated culture aspects.

Current Position: Work was undertaken during the initial phase of the Information Management Strategy. The work is being processed, in part, through the development of IM policies and advice and guidance within the CGG.

Issues:

* Absence of an agreed IM reference model to aid common understanding of the IM concept and how it might be applied in practice.

* The need for information management to focus on tracking people's experience and skills.

* The role and status of current information management standards and policies.

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Line of Action: **2 - BE JOINED-UP INTERNALLY AND EXTERNALLY**	**Lead:** ICT

High-level Activity: *return to High-level activities*

2.1 - Identify requirements for, design and implement a common and shared Authority-wide infrastructure to meet the access and connectivity requirements of the Authority and its external stakeholders.

Guiding Information Principle(s):

• adopt an information and communications architecture separating business-specific applications from information infrastructure

Primary Benefits addressed	Primary Penalties addressed
• operational effectiveness. • internal and external communications. • personal productivity and satisfaction • efficient use of information;	• quality of decision-making. • loss of credibility and respect • exploiting information • failure to exploit investment in ICT

Short Description: The basic technology building blocks, including the networks, servers, systems software and security services that will deliver information services must be in place to support greater connectivity and interoperability between the federated parts of Authority and between the CLS and its external stakeholders. The building blocks will be based on e-Government interoperability standards and implemented via a co-ordinated action plan.

Current Position: The CLS Information Infrastructure is part of the Systems and IT Strategy, currently in production.

Issues:

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Line of Action: **2 - BE JOINED-UP INTERNALLY AND EXTERNALLY**	**Lead:** ICT/CGG

High-level Activity:	*return to High-level activities*

2.2 - Identify, design and implement the information content and transaction services and supporting policies that will enable the Authority Information Infrastructure to be fully exploited.

Guiding Information Principle(s):

- adopt an information and communications architecture separating business-specific applications from information infrastructure

Primary Benefits addressed	**Primary Penalties addressed**
• operational effectiveness. • efficient use of information. • internal and external communications	• quality of decision-making. • exploiting information • loss of credibility and respect

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Short Description: The main business and operational benefits of an Authority-wide Information Infrastructure will be realised through implementation of a range of common information content and transaction-based services, hosted on servers and allowing access to the Authority databases and content repositories. These will be underpinned by a set of policies and guidance covering aspects such as Web site style/content, information content management and staff training needs. The services could include support for a CLS intranet, e-commerce transactions (extranet), interrogation of CLS internal database information and a whole range of other potential services. Availability of these services will make dealings with Suppliers, Other Government Departments and other external stakeholders more productive and effective. They will also provide the Authority with the ability to access and exchange information between its constituent parts and to assess our performance in doing so.

Current Position: The use of an Intranet is included in the EDRMS solution.

Issues:

• No design/style standards have been created for the CLS.

• How best to keep Intranet and Internet site synchronised?

• Need for policies and procedures governing access to information by external stakeholders.

• As above for the types of transaction services that could be provided.

• The use of common source databases and other shared repository structures (typically accessed through web-pages).

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Line of Action: **2 - BE JOINED-UP INTERNALLY AND EXTERNALLY**	**Lead:** CGG

High-level Activity: *return to High-level activities*

2.3 - Establish the governance arrangements, connection policies and charging mechanisms to apply to the information environment

Guiding Information Principle(s):

- accountability for Delivery of Information Infrastructure services.

- costs of information infrastructure borne by consumers

Primary Benefits addressed	**Primary Penalties addressed**
• efficient use of information;	• quality of decision-making. • failure to exploit investment in ICT

Short Description: This will ensure that an appropriate management and charging regime is in place to meet the information needs of the Authority. This regime must also reflect the possible business impact of infrastructure changes upon applications.

Current Position: An information principle is being proposed that information infrastructure services should where possible be met from the budgets of those consuming such services.

Issues:

- Has the principle that users will be charged for use of infrastructure been accepted?

- The charging approach, algorithm and systems to support billing for infrastructure usage need to be developed.

- Funding arrangements for modifications to business applications as a result of infrastructure changes.

Line of Action:	Lead:
2 - BE JOINED-UP INTERNALLY AND EXTERNALLY	CGG

High-level Activity: *return to High-level activities*

2.4 - establish an approach to improved application coherence opportunities

Guiding Information Principle(s):

• clear process ownership.

• maximum use of best practice (and COTS)

• minimise the requirement for bespoke training

Primary Benefits addressed	Primary Penalties addressed
• efficiency and effectiveness of current working practices	• exploiting information. • failure to exploit investments in ICT

Short Description: A common information infrastructure exists; this platform is ready to be exploited. Coherence between applications, and by implication business processes, must now be urgently considered and enacted

Current Position: This is currently under review as part of the Systems and IT Strategy.

Issues

• An information (needs) audit.

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Line of Action:	Lead:
2 - BE MORE JOINED-UP INTERNALLY AND EXTERNALLY	CGG

High-level Activity: *return to High-level activities*

2.5 - facilitate and promote the coherent adoption of enablers to the Authority information infrastructure.

Guiding Information Principle(s):

- adopt an information and communications architecture separating business-specific applications from information infrastructure

- maximum use of best practice (and COTS)

Primary Benefits addressed	Primary Penalties addressed
• efficiency and effectiveness of current working practices	• exploiting information. • failure to exploit investments in ICT

Short Description: the requirement to facilitate the wider CLS needs of enabling technologies so that timely solutions are adopted which support the CLS information infrastructure and avoid local solutions having a disproportionate impact.

Current Position: A Systems and IT startegy is in progress.

Issues:

- The role of CGG as a facilitator.

- The need for effective management processes to monitor the coherent application of emerging technologies.

Line of Action: **2 - BE MORE JOINED-UP INTERNALLY AND EXTERNALLY**	**Lead:** CGG

High-level Activity:	*return to High-level activities*
2.6 - Develop the business information requirements for the Authority.	

Guiding Information Principle(s):

- Clear process ownership

Primary Benefits addressed	**Primary Penalties addressed**
• Efficient use of information;	• quality of decision-making. • exploiting information. • failure to exploit investment in ICT

Short Description: The information needs of the Authority are diverse and complex. A formal strategy and plan identifying the information systems requirements of the Authority corporate body is required to ensure that policy formulation/evaluation, resource planning, executive decision-making, communications and other core activities are supported by the right systems and technology infrastructure.

Current Position: The Systems and IT Strategy is in progress.

Issues:

- Funding the resultant investment programme.

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Line of Action:	Lead:
3 - GIVE OUR PEOPLE THE RIGHT SKILLS AND COMPETENCES	Training

High-level Activity: *return to High-level activities*

3.1 - Ensure that the right skills and competences to enable the implementation of the Information Management Strategy and hence meet the Authority objectives are identified, planned and enacted.

Guiding Information Principle(s):

• minimise the requirements for bespoke training.

• maximum use of best practice (and COTS)

Primary Benefits addressed	Primary Penalties addressed
• operational effectiveness. • personnel productivity and satisfaction;	• quality of decision-making. • exploiting information. • loss of credibility and respect

Short Description: This activity is concerned with identifying the skill requirements necessary to implement the Information Management Strategy (using an agreed skills map as a basis), matching those skills/competencies, identifying skills gaps and developing a training and education programme that enables well-trained, competent and able staff to provide the leadership and specialist skills required to exploit information resources and operate effectively within the new environment. The skills/competencies required should cover those of both IT professional staff and all other staff at all levels.

Current Position: The Authority has a core set of competencies which includes some office tools training.

Issues:

• CLS's culture may prove difficult to deliver in a measurable form.

• Sourcing of information service provision may become a strategic issue.

• Impact of business change programme approach on current skills/competencies.

• The key requirement is not IT skills but for people to develop information management skills ("information science"), much of which will be by training people in local custom and practice in meta data, use of standard formats and workflow.

• The lead is with the Training section with help from the CGG.

Line of Action: **3 - GIVE OUR PEOPLE THE RIGHT SKILLS AND COMPETENCES**	**Lead:** Training

High-level Activity: *return to High-level activities*

3.2 - Formulate an approach to addressing the cultural and behavioural issues associated with information sharing, joint working and business process change

Guiding Information Principle(s):

• maximum use of best practice and COTS

Primary Benefits addressed	**Primary Penalties addressed**
• operational effectiveness. • efficient use of information;	• quality of decision-making. • exploiting information

Short Description The Authority needs to address the cultural and behavioural issues that will arise when trying to introduce new ways of working, whether these result as a consequence of revised business processes or are enabled by new information services supporting joined-up, collaborative working. These issues are also highly relevant for introducing Information Management practices throughout the Authority. In the first instance, an approach to tackling these issues needs to be formulated, followed by a more specific set of activities that describe the process by which cultural issues are to be addressed and managed as an integral part of the change process.

Current Position: under review.

Issues: under review

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Line of Action: **4 - ESTABLISH AN INFORMATION GOVERNANCE FRAMEWORK**	Lead: CGG

High-level Activity:	*return to High-level activities*

4.1 - Develop an Authority-wide business model and assign process responsibilities.

Guiding Information Principle(s):

• clear process ownership.

• investment justification based on output benefits

Primary Benefits addressed	Primary Penalties addressed
• efficiency and effectiveness of current working practices. • internal and external communications	• quality of decision-making. • failure to exploit investment in ICT

Short Description The Authority requires a business model to understand the business and operational processes that are conducted and hence the impact of investment proposals on those processes as part of Balance of Investment decision-making. This will be a high-level model comprising key processes, information flows and information needs sufficient to identify business process owners within the Authority and to allocate responsibility for taking forward business change programmes (where information systems and technology requirements will form an integral part of such programmes). It will also support the development of a revised IM strategic planning framework.

Current Position: Business models do not exist but need to be developed during the early stages of operation.

Issues:

• This is a key recommendation of the McCartney Report into major IT projects across Government Modelling the business down to the appropriate level of detail for the required purpose.

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Line of Action: **4 - ESTABLISH AN INFORMATION GOVERNANCE FRAMEWORK**	**Lead:** CGG

High-level Activity:	*return to High-level activities*

4.2 - Develop a revised Information Systems Strategic Planning framework.

Guiding Information Principle(s):

• clear (information) process ownership

Primary Benefits addressed	**Primary Penalties addressed**
• efficient use of information;	• quality of decision-making. • Exploiting information

Short Description: There is a need to establish an agreed planning framework to address the future information systems needs of the constituent parts of the Authority and establish new strategic priorities. The framework should reflect existing Departmental planning processes and roles, responsibilities and structures.

Current Position: No framework currently exists.

Issues:

• Whether the CLS needs a planning framework for IM.

• What role will the framework and its outputs have in scrutiny and approval of IS programmes and projects?

Line of Action: **4 - ESTABLISH AN INFORMATION GOVERNANCE FRAMEWORK**	**Lead:** CGG

High-level Activity: *return to High-level activities*

4.3 - Establish revised information governance arrangements appropriate to the new environment.

Guiding Information Principle(s):

- clear process ownership.

- investment justification based on output benefits.

- maximum use of best practice and COTS.

- adopt smart procurement principles.

- accountability for delivery of information infrastructure services

- costs of information infrastructure services borne by consumers

Primary Benefits addressed	Primary Penalties addressed
• the efficient use of information;	• quality of decision-making. • exploiting information

Short Description: The totality of governance, including structure, roles, responsibilities, authorities, delegations, controls, acquisition and approvals processes, planning information etc. must be reviewed and overhauled as necessary to ensure that the Authority's information governance is coherent, efficient and appropriate to the needs of the information age.

The arrangements must provide support to investment decision-making in the form of planning tools, business process maps and other relevant information sources that can be used for review of project plans and investment proposals. They must also reflect the need to engage business users in leading roles within business change programmes.

Current Position: Under review.

Issues:

- The need for an agile management process to cope with the integration of information into business change projects.

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Line of Action:	Lead:
4 - ESTABLISH AN INFORMATION GOVERNANCE FRAMEWORK	CGG

High-level Activity:	*return to High-level activities*

4.4 - Establish a performance measurement framework and set of metrics to measure the impact of the Information Management Strategy.

Guiding Information Principle(s):

• establish performance metrics

Primary Benefits addressed	Primary Penalties addressed
• efficient use of information;	• quality of decision-making. • exploiting information. • failure to exploit investment in ICT

Short Description: The performance measurement framework will be based on a recognised performance measurement model such as EFQM or the Balanced scorecard (BSC) and cover both an information output and business outcome-related set of measures. It will be used to identify the impact of the Information Management Strategy on the Authority as well as to inform its future development as part of a continuous improvement process.

Current Position: A Balance Score Card need to be produced and trialled as a basis for overall performance management.

CGG will be responsible for reporting progress to the CLS Executive on the Authority's Scorecard Objectives.

Issues:

• Capturing actual performance and attribution to information initiatives.

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Line of Action: **5 - ACHIEVE MODERNISING GOVERNMENT AIMS AND TARGETS**	**Lead:** CGG

High-level Activity: *return to High-level activities*

5.1 - Identify and promote e-Business through consideration of business change and technology exploitation opportunities.

Guiding Information Principle(s):

• clear process ownership.

• maximum use of best practice and COTS;

Primary Benefits addressed	Primary Penalties addressed
• efficiency and effectiveness of current working practices • efficient use of information;	• quality of decision-making. • exploiting information • failure to exploit investment in ICT

Short Description: Driven partly by *Modernising Government* targets but also by the possibilities now afforded by modern technology. This activity will focus on what approach should be adopted to facilitate exploitation of e-Business opportunities throughout the Authority and how these can best be identified and co-ordinated as a recognisable programme area.

Current Position: The Authority have a *Modernising Government Programme Board.*

Issues:

• Clarity on what aspects of business and technology fall within the e-Business area.

• Extent to which central policy and guidance for e-Business needs to be developed.

• Extent to which processes and structures for e-Business exploitation need to be established.

Line of Action: **5 - ACHIEVE MODERNISING GOVERNMENT AIMS AND TARGETS**	**Lead:** CGG

High-level Activity: *return to High-level activities*

5.2 - Produce a composite, Authority-wide plan for meeting the key Modernising Government target for Information Age Government and other subsidiary targets

Guiding Information Principle(s):

• not applicable

Primary Benefits addressed	**Primary Penalties addressed**
• internal and external communications	• loss of credibility and respect

Short Description: In addition to the overall target (that 25% and 100% of key dealings with the public and businesses are carried out electronically by 2002 and 2005 respectively) there are some specific subsidiary targets that must also be met, namely:

• all newly created public records to be electronically stored and retrieved by 2004;

The composite plan should include not only specific projects (for example covering e-commerce) but also activities that will provide the mechanisms for achieving the Information Age vision.

Current Position:

Issues:

• Ensuring coherence between the implementation of the Information Management Strategy and any additional mechanisms needed for e-government.

• Relationship of this plan with the e-Business strategy.

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Line of Action: **5 - ACHIEVE MODERNISING GOVERNMENT AIMS AND TARGETS**	**Lead:** CGG

High-level Activity: *return to High-level activities*

5.3 - Collaborate in the development and funding of cross-Departmental Services.

Guiding Information Principle(s):

- adopt an information and communications architecture separating business-specific applications from information infrastructure

Primary Benefits addressed	Primary Penalties addressed
• internal and external communications;	• failure to exploit investment in ICT

Short Description: An assessment should be made of the contribution that the Authority can make in collaborative developments with other parts of the County and in providing related advice and expertise on Information Age issues.

Current Position: under review.

Issues: under review.

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Line of Action: **5 - ACHIEVE MODERNISING GOVERNMENT AIMS AND TARGETS**	**Lead:** CGG

High-level Activity:	*return to High-level activities*
5.4 - Develop an e-Business Strategy.	

Guiding Information Principle(s):

• not applicable

Primary Benefits addressed	**Primary Penalties addressed**
• internal and external communications	• loss of credibility and respect

Short Description: The Authority must produce an initial e-Business strategy, consisting of several components: an examination of *Modernising Government* within a CLS context, CLS's Information Management Strategy and a progress report against the strategy's action plan.

Current Position:

Issues:

• The extent to which a comprehensive business analysis of CLS external information flows needs to be conducted.

Line of Action: **6 - ESTABLISH THE RISK BALANCE**	**Lead:** CGG

High-level Activity:	*return to High-level activities*

6.1- Develop policies and processes to support effective risk management by owners of the business risk

Guiding Information Principle(s):

• information assurance balance

Primary Benefits addressed	**Primary Penalties addressed**
• internal and external communications • efficient use of information;	• quality of decision-making. • exploiting information

Short Description: Information security is more relevant than ever in the Information Age where data is exposed to greater threats and vulnerabilities than previously applied in closed workgroup situations. Safeguarding the integrity, confidentiality and availability of data and establishing trust between parties to an electronic transaction is therefore vital if a greater degree of information access and sharing is to be achieved. Existing information security policies must therefore be reviewed and revised to take account of the new Information Age environment that the Authority is seeking to establish and against the background of developments taking place across Government and externally.

Current Position: Under review.

The CGG is currently taking forward work on introducing a risk management approach to information sharing.

Issues:

• The need to balance business benefits against the security risks of opening up access and connectivity to a wider community.

• Cost and effectiveness of security measures to safeguard NDA information assets from internal and external threats.

• Implementation and management of Public Key Infrastructure services.

• ownership of the business benefit to risk balance.

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Line of Action:	Lead:
6 - ESTABLISH THE RISK BALANCE	CGG

High-level Activity: *return to High-level activities*

6.2 - Establish systems and procedures to mitigate the threats to information

Guiding Information Principle(s):

• information assurance balance

• accountability for delivery of information infrastructure services

Primary Benefits addressed	Primary Penalties addressed
• internal and external communications • operational effectiveness	• quality of decision-making. • loss of credibility and respect

Short Description: The Authority must ensure that it has the means of monitoring threats to its information, and of detecting and responding quickly to incidents, including deliberate electronic attacks, when they occur. These systems and procedures must address the full spectrum of Departmental activity, must be flexible and responsive to changes in the threat.

Current Position: Work has begun to identify the Authority's critical information infrastructure, and to develop a monitoring and reporting system for information security incidents.

Issues:

• Better training will be needed to improve skill-sets of security professionals and system staff and to improve the security awareness of ordinary users.

Appendix 2 : Summary of Model Action Plan

We Will	By When	Lead
Create, Approve and Communicate an Information Strategy	March 2006	Ian Forster
Create, Approve and Communicate an Information Policy	May 2006	Ian Forster
Create, Approve and Communicate a Records Management Policy	May 2006	Ian Forster
Create, Approve and Communicate an Openness and Transparency Policy	May 2006	Ian Forster
Create, Approve and Communicate an E-mail as Records Policy	May 2006	Ian Forster
Complete the implementation of a Document Management System for Revenues and Benefits	May 2006	Jayne Henderson
Consider a resource for information management/records management and compliance officer	November 2006	Ian Forster
Create, Approve and Communicate a Corporate Fileplan.	November 2006	Ian Forster
Create, Approve and Communicate a Corporate Retention and Disposal Schedule	November 2006	Ian Forster
Complete the ISO 15489 compliance assessment	November 2006	Ian Forster
ISO 15489 Compliance Review	November2006	Ian Forster

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Complete the implementation of a Document Management System for Planning subject to learning from the Revenues and Benefits project	March 2007	Tom Watson
Complete Detailed Action Plan for Lines of Action subject to decision on information management resource officer	April 2007	Ian Forster
Resource a Corporate EDRMS subject to learning from the previous phase	March 2007	Ian Forster
Implement an EDRMS subject to learning from the previous phase	April 2008	Ian Forster
Develop a Security Policy and Review	April 2008	Ian Forster
Develop a GIS Policy and Strategy and Review	April 2008	Ian Forster
Engaged with the Durham Partnership on Information Management funding	ongoing	Graeme Clark

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