HOUSE OF LORDS

Management Board

Information Management Strategy 2010-2013

Responsible Board Member(s)	Liz Hallam Smith
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Summary of actions requested: The Board is invited to note, discuss and advise on the attached draft Information Management Strategy for Parliament, which has been produced by the bicameral Group on Information Management.

The overall goal is to e-enable, streamline and integrate all of Parliament's information processes to improve efficiency, effectiveness and value for money.

In particular the Board is invited to address the objectives, benefits and critical success factors outlined at paragraphs 3.6 and 3.7 of the main strategy.

Once this strategy has been agreed and endorsed by both Boards, the next step is for GIM to work with projects, programmes and PICT to develop an Information Management Plan.

9 June 2010   **Liz Hallam Smith**

Information Management Strategy: 2010 - 2013

Executive Summary

1. This document puts forward an Information Management Strategy (IMS) for Parliament and has been produced by the bicameral Group on Information Management (GIM). The IMS sets out a clearly defined approach to managing and sharing information as a corporate asset which can support more efficient and effective service delivery to Members, the public and staff.

2. In May 2008 both Houses adopted a set of principles for knowledge and information management. Since then a number of major programmes and projects have been initiated to meet specific business requirements. However, it is important that these initiatives have an overarching strategy that binds them together to ensure we maximise the potential benefits, assists in managing interdependencies between them, and ensures that they work together in line with the agreed principles, to meet all our information management needs. Parliament can then build on the success of these initiatives to set the direction for information management for the rest of the decade.

3. GIM has developed a vision that Parliament should manage information as a corporate resource in such a way that it is:

    •   efficient – using and exploiting information to improve cost effectiveness, eliminating unnecessary data duplication, rationalising online storage and printing costs, encouraging greater self-service by providing tools to allow users to process their own requests online wherever possible

    •   effective – providing the information required – quickly, easily, accurately, conveniently, consistently, and transparently – in the most appropriate way to meet the business needs of Parliament now and in the future

    •   accessible – ensuring information can be easily accessed by and is appropriate to the needs of the various user communities within and beyond Parliament; encouraging the capture of knowledge held by individuals that can then be shared with others for the common good

    •   compliant – storing the right things, in the right place, following the right policies, at the right time

    •   flexible – knowledge and information management solutions that are innovative, sustainable, and can adapt to meet changing requirements and expectations.

4. GIM believes that Parliament's goal should to e-enable, streamline and integrate all of our information processes. This will ensure information is managed seamlessly, across organisational boundaries, throughout its lifecycle. There should no longer be any need to duplicate or recreate data in different business areas for different purposes, different audiences, or different media. This will improve business performance and realise significant efficiency savings, while delivering services that continue to meet the needs and expectations of our users.

5. Therefore, GIM's vision for the next ten years (2010 to 2020) is as follows:

(a)   We will **e-enable and integrate** all our principal business processes and workflows. This will include transactional processes (such as booking rooms, requesting information, arranging tours/visits, online ordering, etc), enabling simple requests to be met by self-service.

(b)   We will use **common data standards/structures** to enable information to flow between applications across Parliament, from the point it is created/acquired to the point it is digitally preserved or destroyed. This will allow us to focus on providing those services where we add most value and using third parties for services which can be delivered better or more efficiently elsewhere.

(c)   **Online publishing** (rather than hard-copy) becomes our primary publication medium with other delivery channels (including print, where still required) supported from core information stores. Parliamentary information will be available at any time, from any location, through any device.

(d)   We will provide **open, online access to parliamentary information**, using common (published) standards, improving openness and transparency.

(e)   We will develop **interfaces that allow Parliament to exchange information** easily, quickly, and efficiently with other organisations (for example, exchanging parliamentary questions and answers with government departments) and with the public.

(f)   All relevant management, security, and preservation **policies will be embedded** in each information management system, service and process – this will be completely transparent to users of these services. Information systems will be designed to make it easy and intuitive to comply with these data policies, while making it extremely difficult to circumvent them.

(g)   We will build **an information landscape** that not only supports but encourages **collaboration, knowledge sharing, and innovation**. Users will want to maintain and organise their knowledge and to share it with others using corporate collaborative tools because it is easy and the most convenient way to work

6.   The first stage in achieving this vision is to use the existing set of programmes, projects and initiatives to deliver the building blocks (core services and tools) that will be need for subsequent developments, namely:

- a robust information infrastructure that can be maintained efficiently that is as reliable (and available) as switching on a light

- common XML data structures for procedural data, with agreed metadata standards, that can be published directly to the web

- web and Intranet navigation and search tools that allow information to be found quickly and easily, combined with content management tools that can publish information in whatever format is required to any device

- common information services that can be shared/re-used by other applications (such as Members' names, people and location information)

- effective electronic document and records management for unstructured data, as well as for 'line of business' applications

- a digital repository to preserve those information resources that must be retained and cannot be preserved 'in situ' by other systems

- extended facilities, HR, finance and data consolidation applications that will help to standardise corporate processes, deliver timely management information, and provide the information management 'glue' required to join up information flows between different programmes and projects

- collaboration tools that allow staff to capture and share knowledge

- development of information management policies along with associated user education and communication activities.

7. The role of GIM will be to coordinate the implementation of this information strategy by:

- Identifying and enabling efficiencies in how we manage information across Parliament as a whole by ensuring opportunities are seized to connect projects and bridge gaps between them, while discouraging unnecessary or duplicated work.

- Making it easier to manage information risk and data security on a corporate basis by providing a comprehensive policy and guidance framework and supporting the streamlining of information management practices.

Group on Information Management

Information Management Strategy for Parliament: 2010 - 2013

June 2010

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Diagrams showing relationships between key programmes

1. Purpose

1.1 This document puts forward an Information Management Strategy (IMS) for Parliament for 2010-2013 and has been produced by the bicameral Group on Information Management (GIM). The IMS sets out a clearly defined approach to managing and sharing information as a corporate asset which can support more efficient and effective service delivery to Members, the public and staff.

1.2 The Information Management Strategy (IMS):

- sets out the background and context for the strategy
- outlines the vision for information management
- puts forward a strategy to deliver the vision
- notes key assumptions and risks
- sets out the principles that underpin the strategy
- illustrates the relationships between current programmes and initiatives
- proposes next steps to translate the vision into action

1.3 The IMS complements and builds on the Parliamentary ICT Strategy. It does not focus on technical issues, as these have already been addressed by the ICT Strategy. Instead, it focuses on broader principles, namely:

- information value and value for money in managing information
- custody
- usability and reusability
- one version of the truth: authenticity of information
- compliance

It then suggests how these principles can be embedded in the work of the administrations and assist in streamlining business processes.

1.4 The IMS proposes that all parliamentary business processes are e-enabled, all information management systems are fully integrated around common standards, and that online publishing becomes the primary means of obtaining parliamentary information, replacing hardcopy wherever possible. This will ensure that information management across Parliament is:

- efficient – using and exploiting information to improve cost effectiveness, eliminating unnecessary data duplication, rationalising online storage and printing costs, encouraging greater self-service by providing tools to allow users to process their own requests online wherever possible
- effective – providing the information required – quickly, easily, accurately, conveniently, consistently, and transparently – in the most appropriate way to meet the business needs of Parliament now and in the future

- accessible – ensuring information can be easily accessed by and is appropriate to the needs of the various user communities within and beyond Parliament; encouraging the capture of knowledge held by individuals that can then be shared with others for the common good

- compliant – storing the right things, in the right place, following the right policies and legal obligations, at the right time

- flexible – knowledge and information management solutions that are innovative, sustainable, and can adapt to meet changing requirements and expectations.

2. Background

2.1 Information underpins everything that Parliament does. Huge streams of information pour into and through the chambers of each House and into committee inquiries each day, in the form of draft legislation, evidence, government policy papers and reports. This enables debate, analysis, amendments, recommendations and decisions to be made by Members of both Houses which directly affect the lives of everyone in the UK. Information is made available to the public via the web site and information offices, while the public in return seeks information about the work of Parliament and the activities of the administration in great quantity. Information is provided for the use of Members in the Libraries of both Houses, and for future generations in the Archives.

2.2 Supporting all of this activity is the information which keeps Parliament functioning and the financial, personnel, procurement, catering, ICT, building management, legal and project information which enables its daily work. In a digital world, where information can proliferate at alarming speed, such a critical asset as Parliament's information needs to be managed responsibly, securely, and above all, efficiently.

2.3 Earlier information systems strategies adopted by both Houses have achieved considerable progress in how we manage information. As a result, we now have:
- common desktop applications that enable files to be shared across the Parliamentary Network

- a Parliamentary website and Intranet that are focussed on the needs of their users and underpinned by a robust infrastructure and content management tools

- corporate applications, such as HAIS, that are used across different departments and offices

- customised data feeds that allow information to be transferred between specific information systems

- a joint department, PICT, that provides ICT services to both Houses.

2.4 However, there are new drivers to consider when updating the information management strategy:

- the need to identify and deliver savings in the operating costs of Parliament

- greater bicameral collaboration, and a unified House service in the Commons, means that information processes increasingly need to join up across departmental/office boundaries

- a greater emphasis on public engagement increases the exchange of information between Parliament and the public through the website

- user expectations have been increasing steadily, with a 24/7 demand for information from any location

- technology advances that allow information to be managed more securely and more cost-effectively

- continual improvements in what constitutes external best practice and the reputational importance of benchmarking ourselves against this

- changes in our legal obligations, such as the introduction of FOI

- the changing nature of Parliament and the changing needs and expectations of Members and of the public.

2.5 As we have progressively made greater use of ICT the amount of information we produce and use has grown significantly, greatly increasing the risk that we fail to manage it properly. In recognition of the growing importance of wider information risks both Houses have elevated the following to a Management Board level risk:

- Disruption to the work of the House services or damage to reputation through failure to maintain and develop secure and appropriate data and information systems (Commons)

- Damage to the Administration's reputation amongst Members of the House or the public due to a failure to provide timely, relevant and accurate information on the work of the House to Members, the media and the public; *and* Disruption to the strategic plan objectives as a result of a failure to meet data security or data protection requirements, or comply with FoI requirements (Lords)

2.6 In May 2008 both Houses adopted a set of principles for knowledge and information management (see Appendix 1). Since then a number of major programmes and projects have been initiated to meet specific business requirements while also addressing the drivers and risks outlined above. However, it is important that these initiatives have an overarching strategy that binds them together to ensure we maximise the benefits that can be achieved, assist in managing interdependencies between them, and ensure that they work together to meet all our information management needs.

3.   What is our Vision for the future?

3.1   <u>What are the drivers?</u>
- Continuous and measurable improvement in the services we deliver, while reducing the operating costs of Parliament.
- Strengthening the reputation of Parliament with the public and increasing openness and transparency.
- Making Parliament a leader in the use of ICT to deliver better and more cost-effective services, as well as to become greener and more sustainable.
- Meeting the information needs and expectations of <u>all</u> users (Members and their staff, staff of both Houses, and the public) – ensuring users are better informed by making information more accessible and easier to find.
- Ensuring the integrity of Parliamentary records for the benefit of future generations and mitigating the risk to Parliament's reputation from information loss or inadequate data security.
- Engaging our staff in developing better services and new, innovative ways of working.

3.2   <u>What are the objectives?</u>
- Greater **efficiency**
- Greater **effectiveness**
- Improved **availability**, **accessibility**, and **ease of use**
- Ensuring **compliance** with Parliament's legal and regulatory responsibilities
- Improved **capability** to innovate to adapt to the changing needs of Parliament and the public's expectations of Parliament

3.3   <u>Who are the stakeholders?</u>
Internal:
- Members and their staff, and staff of both Houses
- End-users of information as well as those responsible for producing, acquiring, or managing that information over its lifecycle
- Those responsible for supporting information management services
- Those responsible for developing and applying information security and records management policies

External:
The public – a wide group of users with a range of potential needs:-
- UK citizens looking for information about Parliament, be it about current affairs or politics, the progress of legislation or committee inquiries, what Parliament is doing on particular issues, Parliament's history and heritage, or simply how to visit.

- Specialist users – such as government departments, the media, the education/academic sector, charities and the voluntary sector, legal users, lobbying firms, researchers, as well as other specialists.
- Partners, suppliers and sub-contractors who work with Parliament to deliver services and projects.
- Auditors, inspectors, and standards officers who monitor Parliament's compliance with relevant legislation and regulations.
- Other legislatures and international bodies.
- Non-UK users who may have similar interests to UK citizens

3.4 <u>What are the benefits?</u>
The benefits align directly to the objectives outlined above, ie:
- Improved efficiency
- Improved value for money through more effective use (and re-use) of resources and avoidance of future costs
- Better information (eg better access, more accurate, more consistent, and more timely) enabling better decision making
- Improved service to users – users are better informed, public is more engaged with Parliament
- Improved reputation and user confidence
- Improved compliance with legislation – reduced corporate risk
- Improved capability

3.5 What does this mean for those who use our information or who are responsible for managing information at some point in its lifecycle?
<u>For end-users:</u>
- They can find the information they need, when they need it, in the form they need it, easily and intuitively...
- ...with the confidence that it is accurate, up-to-date, and authoritative...
- ...and then share that information easily with others or re-use it themselves.
<u>For information producers and managers:</u>
- They can create (or acquire), update, re-purpose, preserve/archive, delete/dispose of information quickly and simply...
- ...with a minimum of additional work or intervention on their part...
- ...and with the confidence that the correct security, records, and digital preservation policies are in place and applied transparently, the information will be preserved or disposed of according to those policies, and that records are preserved in a form that will allow them to be accessed in the future (by subsequent generations of software applications) and will have evidential weight in court (where appropriate).

3.6   <u>What is our vision for information management?</u>

Our goal is to e-enable, streamline and integrate all of our information processes. This will ensure information is managed seamlessly, across organisational boundaries, throughout its lifecycle. There will no longer be any need to duplicate or recreate data in different business areas for different purposes, different audiences, or different media. This will improve business performance and realise significant efficiency savings, while delivering services that continue to meet the needs and expectations of our users.

3.7   Parliament's vision for the next ten years (ie through to 2020), therefore, is as follows:

a)   We will e-enable and integrate <u>all</u> our principal business processes and workflows. This will include transactional processes (such as booking rooms, requesting information, arranging tours/visits, online ordering, etc), enabling simple requests to be met by self-service.

New information systems will not be built purely to meet the requirements of a single business process or business area and deliver a specific output but instead will consider the requirements of all users of that information, throughout its life. In practice, this means that any new systems will be designed to be fully integrated with other existing Parliamentary systems and services so that information can flow seamlessly between them.

Benefits:

- *Maximising efficiencies through the use of ICT, joining up information flows, reducing duplication and re-keying of data, reducing data feeds and the time currently spent checking different versions of data, minimising the number of different information stores/databases (along with associated management overheads)*

- *Improving consistency of business processes*

- *Greater flexibility and agility in adapting and enabling business change*

- *Improving the service to users by providing online transaction processes and greater self-service*

Critical Success Factors:

- *Any electronic information that is used by Parliament has a managed information flow from the point it is created or initially acquired through to its preservation or destruction that is seamless with no breaks or dead ends.*

b)   The use of common data standards/structures will enable information to flow between applications across Parliament and make systems integration simpler, as described in (a) above. Changing our emphasis to data standards and business/process rules, rather than systems requirements, will allow us to focus on providing those services where we add most value and using third parties for services which can be delivered better or more efficiently elsewhere. In a similar way, only those processes that are unique to Parliament will need bespoke (or extensively customised) solutions – business processes that are common to

other organisations can make use of readily available third party systems or services.

Benefits:

- *Improving consistency (and accuracy) of business processes*

- *Savings by reducing data duplication and rekeying (along with associated management and storage overheads)*

- *Savings from ICT systems and processes that are easier and cheaper to support through the use of common standards and/or commercially available 'off the shelf' (COTS) software*

- *Savings through use of commercial services where these provide best value for money*

Critical Success Factors:

- *There is a library of data standards and XML schemas for all data published by Parliament. This library has a nominated owner, clear change control procedures in place, and is routinely audited.*

- *All business processes that are not specific to Parliament are supported by information systems/services that are either based on readily available third party products or outsourced.*

c) With fully integrated information flows, digital (rather than hard-copy) becomes our primary publication medium with other delivery channels (including print, where still required) supported from core information stores. Parliamentary information will be available at any time, from any location, through any device.

Benefits:

- *Savings by reducing data transformation and feeds processes, and the costs involved in supporting such processes*

- *Reducing printing levels and costs across Parliament*

- *Savings by reducing the need to store (and preserve) both hard-copy and digital forms of information*

- *Increasing access to Parliamentary information*

- *Ability to reformat and deliver information through new channels, as they emerge*

- *Improving service to users through enhanced information retrieval tools*

Critical Success Factors:

- *All parliamentary information is available through the Intranet or website. It can be easily retrieved (and this can be verified by routine testing) and sensibly displayed on any device supported by PICT and the Web Centre (also verifiable by testing).*

- *Parliament's printing costs are significantly reduced.*

d) We will provide open, digital access to parliamentary information, using common (published) standards.

Benefits:

- *Increasing access to parliamentary information, supporting improved public understanding of Parliament and encouraging greater potential engagement with and participation in parliamentary business*

- *Improving the reputation of Parliament for transparency/openness with the public*

- *Aligning ourselves with government and industry best practice*

- *Improving the service to users and facilitating the repurposing of information to meet individual needs*

Critical Success Factors:

- *All published parliamentary information is available on the website in an open format with supporting documentation to allow the data to be easily read and re-used.*

- *Parliament is recognised by the public and the media for its commitment to providing open access to its information.*

e) Building on the integrated information flows described in (a), we will develop interfaces that allow Parliament to exchange information easily, quickly, and efficiently with other organisations (for example, exchanging parliamentary questions and answers with government departments) and with the public.

Benefits:

- *Savings by reducing the rekeying of data*

- *Improving consistency (and accuracy) of business processes*

- *Reducing data processing and the time to publish*

- *Improving Parliament's reputation by making it easier for the public to engage with it*

Critical Success Factors:

- *All the information that is needed from government departments for the production of procedural publications (such as Hansard) will be supplied electronically.*

f) All relevant management, security, and preservation policies will be embedded in each information management system, service and process – this will be completely transparent to users of these services. Information systems will be designed to make it easy and intuitive to comply with these data policies, while making it extremely difficult to circumvent them.

Benefits:

- *Improving consistency (and accuracy) of business processes*

- *In-built and auditable compliance with legislation and aligning ourselves with government best practice*

- *Savings by reducing level of manual intervention required to implement and check the enforcement of policies*

- *Savings from only keeping information for as long as it is required and eliminating unnecessary data duplication (and associated storage costs)*

Critical Success Factors:

- *Statements of Assurance can be given to the Accounting Officer/Chief Executive of each House that information risk is mitigated and compliance with agreed policies is enforced rigorously by means of the information systems and applications in use across Parliament.*

- *Information management systems and services demonstrate compliance with all agreed policies through routine audits.*

- *Information has clear ownership/stewardship assigned at all points in its lifecycle through information asset registers derived from documented information flows.*

g) We will build an information landscape that not only supports but encourages collaboration, knowledge sharing, and innovation. Users will want to maintain and organise their knowledge and to share it with others using corporate collaborative tools because it is easy and the most convenient way to work.
Benefits:

- *Improving the service to users by making more effective use the knowledge held by individual members of staff*

- *Savings through greater collaboration and less duplication of effort across different teams and offices*

- *Continuous improvement of business processes through innovation*

Critical Success Factors:

- *Staff in different business areas understand the benefits of sharing knowledge, have access to tools that enable them to do this, and actively share knowledge and information not just within their own teams but across organisational boundaries – it becomes established in the practice, culture and training of teams.*

3.8 <u>Initial steps</u>
The first stage in achieving this vision is to set out what we hope to achieve by the end of the current business planning cycle (2010/11 to 2012/13):

a) Where we have not ICT-enabled our business processes (or have only partially done so), we will seek efficiency savings by doing so, in the context of improving services to users and stakeholders.

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b) Where we have previously applied ICT to our processes, but by using technology that is now out-dated or by developing local applications that operate in business 'silos', we will seek further efficiency savings by:

  i. joining up information flows across organisational boundaries – seamless, streamlined information management

  ii. using common information standards to allow information to be re-used and re-purposed – information systems/services that can talk to each other and information that is presented according to the needs of the end-user, not the producer

  iii. standardising processes, which deliver accurate and timely management information – supporting the business needs of managers and allowing them to take informed decisions in real time

  iv. providing single authoritative sources for common information that can be shared between applications and services – a single version of the truth

  v. delivering a comprehensive, integrated, highly reliable and secure infrastructure that is flexible enough to cater for Parliament's future needs – an information infrastructure that is as reliable (and available) as switching on a light

c) Adopting records/information management, security and preservation policies that apply equally to digital information as to paper-based and which are enforced and adhered to, irrespective of the medium on which the information is stored.

Once we have achieved these immediate goals we can then move forward to deliver the more ambitious and comprehensive vision of information management across both Houses described earlier.

4. What is the Strategy that will achieve our vision?

4.1 The first stage of the strategy to deliver the vision consists of a series of related programmes, projects, and initiatives over the current business planning cycle (2010/11 to 2012/13). These broadly fit into three main categories:

- Procedural/Knowledge
- SPIRE/Digital Preservation
- Support Systems

4.2 The Procedural/Knowledge strand consists of the Procedural Data and CPIMF (Core Parliamentary Information Management Framework) programmes, supported by Web Centre's work on the Website and Intranet and by the Digital Preservation programme.

- The Procedural Data programme replaces the production systems for procedural data with sustainable systems, based on up-to-date technology, and running on the new infrastructure. These systems will generate data that conforms to open standards (XML, sharing elements of a common procedural
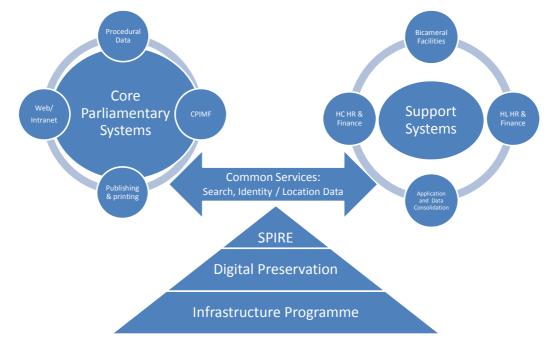
schema), allowing the data to be re-used by other applications within Parliament, as well as by external third parties (via the website). This will form the basis of a procedural content repository that will be used to generate the printed versions required, as well as feeding the website and Intranet (where data can be restructured, reformatted, and combined to form 'mash ups', in whatever form for whatever purpose). The programme will also create a common information service for Members' names that can be used by other applications.

- CPIMF takes the data produced by the Procedural Data programme and enriches the information by adding appropriate metadata, making the data more easily searchable (to both Parliamentary users and the public) and removing the need to have separate versions of the data for different purposes and users. The programme also develops common thesauri, taxonomies and authority lists, along with the tools to manage these and share them with other applications, while applying common metadata standards. It will apply these taxonomies and metadata standards to external resources, alongside procedural content and briefing papers, to allow users to search across the broadest range of content possible with common search strategies (via federated and faceted search).

- The Web Centre provides the information architecture and content management system that enables the data provided by the Procedural Data/CPIMF programmes to be presented in consistent formats that meet the specific needs of each different category of user (including mobile users), along with a range of search and navigation tools that enable users to find the information they need.

- The Digital Preservation project ensures that all procedural data of long-term value will be preserved permanently and available for use by future users. This is a two-pronged approach: it will undertake preservation 'in situ' for some procedural data systems and will provide a digital repository for the material that cannot be not stored permanently in that way – for example, electronic deposited papers (part of CPIMF). It also provides the preservation policies and tools that are embedded into the new systems and services created by Procedural Data and CPIMF.

- Taken together, these programmes will publish procedural information in an open standard, accessible by all, and will provide joined up information flows from when data are created to when they are archived (or destroyed).

4.3   The SPIRE/Digital Preservation strand consists of those two programmes, supported by the Infrastructure programme and the Web Centre's work on the Website and Intranet.

- SPIRE (Supporting Parliamentary Information and Records Programme) will, for the first time, provide Parliament with effective electronic document and records management for unstructured data, along with the cultural change that will embed best practice in business procedures.

- The Digital Preservation project will provide a digital repository, to accept records requiring permanent preservation from SPIRE's EDRMS (Electronic Document and Records Management System), and for other historic information that is outside the scope of the SPIRE programme (eg from CPIMF as above, or digitised material). The programme is also responsible for periodically archiving snapshots of the parliamentary website, in line with best practice for other government departments and legislatures. It will also develop the policies, standards, processes, training and guidance to ensure that current and future digital information resources can be preserved. The Digital Preservation project will therefore provide a range of appropriate preservation solutions for all parliamentary information that needs to be kept permanently.

- The Infrastructure programme will provide the SharePoint collaboration tool, which will link to SPIRE's EDRMS, to provide a means of accessing, sharing and collaborating on documents stored in the EDRMS. The Infrastructure Programme will also provide the infrastructure on which the EDRMS will operate.

- The Web Centre provides the information architecture and information presentation tools that will allow users to access content which needs to be published from SPIRE to the internet or is contained within the digital preservation repository.

- Taken together, these programmes will ensure that the right information is preserved and/or maintained for legal compliance and that it is done seamlessly with the applications and systems that originally created that information, and the information will have evidentiary weight and remains accessible despite technology obsolescence, for use by future users inside and outside Parliament.

4.4 The Support Systems strand consists of the Bicameral Facilities programme, Commons and Lords HR & Finance developments, and an emerging Programme drawing together existing work to provide cross-cutting Application and Data Consolidation.

- The Bicameral Facilities programme will provide the key ICT tools and support that will enable Facilities in both Houses deliver their core objectives and mitigate their highest priority risks. This covers maintenance and planning, asset and accommodation management, room bookings, catering and retail systems, as well as people information.

- The HR and Finance programme in the Commons and corresponding development in the Lords will provide more efficient, sustainable, and extendable ICT-enabled HR, procurement and finance processes, building on what has been learned from the existing systems.

- The Application and Data Consolidation programme will develop new collaboration and data integration tools including the first steps on a Parliamentary People Information roadmap.

- Together, these developments will help to standardise corporate processes, deliver timely management information, and provide the information

management 'glue' required to join up information flows between different programmes and projects. The work will be carried out using commercially available 'off the shelf' (COTS) products.

- These programmes and resulting ICT systems will work with the SPIRE and Digital Preservation programmes to integrate the tools and policies needed to preserve such information created by these systems that has long-term value.

4.5   The relationship between these programmes, projects and initiatives is illustrated in three diagrams, representing the three strands, included as Appendix 1. Overall, the current information landscape looks broadly as follows:

Parliamentary Information Landscape

Core Parliamentary Systems — Procedural Data, Web/Intranet, CPIMF, Publishing & printing

Support Systems — Bicameral Facilities, HC HR & Finance, HL HR & Finance, Application and Data Consolidation

Common Services: Search, Identity / Location Data

SPIRE
Digital Preservation
Infrastructure Programme

4.6   Individual milestones and targets for delivering key capabilities through these programmes and projects will be listed in an Information Management Plan, which will be drawn up by GIM to accompany this strategy. This will enable GIM to measure progress towards the vision and assess the impact and outcomes of information management programmes and initiatives.

4.7   GIM will work with programmes and projects to assess interdependencies between them and review benefits holistically within the context of the strategy (to ensure that benefits delivered by one programme/project to another are captured, baselined, and measured properly).

4.8 GIM will also coordinate the pulling together of information flows, produced by individual projects/programmes, to produce a comprehensive library of documented processes and workflows.

4.9 Alongside these projects and programmes, as well as supporting them, is a strand of work on policy development, overseen by GIM, putting in place the necessary policies with associated user education and communication activities.

    a) *Digital preservation policies* are being developed by the Digital Preservation programme.

    b) Existing *records management policies* are being updated and applied to unstructured electronic information by SPIRE, along with developing appropriate guidance and policies for associated information channels, such as e-mail.

    c) GIM is developing an overarching, top-level *Channel Strategy* that describes how the various information channels sit alongside each other and referencing the more detailed policies, guidance and best practice that will govern the use of individual channels.

    d) GIM is working with PICT to establish agreed *data and metadata standards* for new information management systems.

    e) The *ICT security policy* has been updated, a new *protective marking scheme* is being adopted and applied, while other *information risk policies* are currently being put in place.

    f) Appropriate *archive, collection, and curatorial management policies* are being developed by the two Libraries and the Parliamentary Archives.

    g) A *digitisation strategy* has been developed as part of the former Website and Intranet programme.

4.10 Further work is needed to develop the detailed strategy required to deliver our vision in 2020. GIM will take the lead in coordinating this work, with the aim of producing a full, detailed strategy by 2012/13. The final strategy will be informed by what we learn from implementing the current suite of programmes and projects, as well as the gaps that will be identified as part of this process.

5. Assumptions and Risks

5.1 <u>Assumptions</u>

The main assumptions that have been made in formulating this strategy are:

    a) Parliament has the capacity and the resources to develop and deliver all the projects and programmes required by the strategy within the timeframe envisaged.

    b) We have suitable governance structures and management processes in place to manage the interdependencies between the various projects and programmes and to ensure realisation of the benefits identified.

c)   We can absorb the level of business change proposed by this strategy, alongside other changes that are likely or may arise over the ten-year period.

d)   The efficiencies generated by the strategy are sufficient to allow the strategy to be implemented within planned resource constraints. Ongoing support and development of information management systems and services will be managed and delivered within existing or reduced resource levels.

e)   There is a general move towards shared, bicameral information services, where this is practicable. This does not preclude either House having its own dedicated information systems, as long as these support fully integrated information flows.

f)   We will use commercially available 'off the shelf' (COTS) applications and systems where we can easily procure the service we require and where it provides best value for money. We will use bespoke applications where it is more efficient to develop our own system rather than customise a COTS product.

g)   The PICT ICT strategy will be followed and PICT will retain overall responsibility for the information infrastructure throughout the strategic planning period. Appropriate service levels and support models will be in place, alongside robust and scalable hosting solutions, to ensure the necessary availability and reliability of the information infrastructure.

h)   Common standards are agreed and will form the basis for all development, which will be iterative in approach.

i)   We have suitable skills to manage a mixed environment of internally and externally provided information services, including appropriate contract, service and technical management skill sets.

j)   We manage the transition from primarily paper-based to digitally-based information to maximise the savings that could be achieve – ie that we move to digital forms of information instead of paper, not as well as paper.

k)   The channel strategy will reduce data duplication and is applied rigorously, along with the associated detailed policies.

5.2   <u>Risks</u>

The key risks that have been identified during the interdependency mapping exercises are:

a)   The strategy is insufficiently flexible and is either overtaken by events or a change in strategic direction/priorities within Parliament, or developments in technology or best practice over the ten-year planning timeframe.

Mitigation:

- *Regular, periodic review of the strategy by GIM*

- *Early scheduling and prioritisation of projects that address most significant interdependencies or deliver core capabilities to other projects/programmes*

- *Agile, iterative development procedures to provide greatest flexibility during design and develop process*

- *Engagement with external organisations and practice groups to maintain current awareness and benchmarking against external best practice*

b) The vision is too ambitious or the scope of individual strands of work is too large to be deliverable within resource constraints or to be managed effectively.

Mitigation:

- *Agreement of the strategy by the Management Boards of both Houses*

- *All programmes/projects to produce reliable resource estimates for each year's work (informed by reporting ands and analysis of previous outturns compared to estimates) – PICTAB to review estimate bids against available resources*

- *Active prioritisation of initiatives both within projects/programmes and at senior management levels*

- *Ability to implement interim/tactical solutions to allow projects to be re-sequenced within overall strategy and apply resource levelling*

c) Lack of clear senior management ownership of the strategy and its delivery.

Mitigation:

- *Agreement of the strategy by the Management Boards of both Houses*

- *Regular progress reports to both Management Boards*

- *GIM to be responsible for delivery of strategy; Director General of Information Services (Commons) and Director of Information Services and Librarian (Lords) to provide link between GIM and the two Management Boards; PICT BRMs to provide link between GIM and PICT management team*

- *Ensure cross-membership between GIM and key programmes and projects delivering aspects of the strategy*

d) The initial stage of the strategy (the current set of programmes/projects) does not deliver the anticipated outcome, within the planned timetable, reducing the likelihood of success of subsequent stages.

Mitigation:

- *All programmes/projects to have in place strong risk/issue management procedures, including regular reviews, and a clear escalation path*

- *Strong project management and regular management reporting*

- *Well-defined benefits realisation plans in place*

- *Ability to implement interim/tactical solutions to allow projects to be re-sequenced within overall strategy*

- *Regular Gateway Reviews to inform management of programmes/ projects*

e) Lack of effective engagement with stakeholders or a loss of user confidence if initial projects do not meet expectations.

Mitigation:

- *Strong user engagement throughout delivery of strategy and by individual programmes and projects*
- *All programmes/projects to have active communications strategy and stakeholder management plan, as agreed by PICTAB*
- *All programmes/projects to assign a high priority to addressing and responding to feedback from stakeholders*

f) Parliament loses key personnel and experience required to deliver the strategy.

Mitigation:

- *Ensure all necessary documentation is up-to-date for key programmes and projects, through regular management reporting*
- *Arrange knowledge transfer/sharing within and across project and programme teams*
- *Contingency plans in place (and regularly reviewed) for replacing core skills*

g) Unidentified interdependencies increase complexity and cost of achieving vision in full.

Mitigation:

- *Regular interdependency mapping workshops to be conducted between related programmes/projects – findings to be reported to GIM, which will be responsible for co-ordinating any follow-up actions*
- *All programmes/projects to have in place strong risk/issue management and change control procedures, including regular reviews*
- *Ensure that terms of reference for Gateway Reviews include interdependency management*

h) Staff are overburdened with new initiatives making it harder to engage them in any information management related changes.

Mitigation:

- *Consolidate developments, stakeholder communications and user training so that changes are clearly understood, put in context, and form part of an ongoing narrative of corporate transformation*
- *Maintain an active, coordinated (strategy-level) communications strategy and stakeholder management plan*
- *Strong user engagement throughout delivery of strategy and assign a high priority to addressing and responding to feedback from staff*
- *Ensure that strategy delivers benefits to staff and these benefits are clearly communicated*

i) Competing priorities for limited resources arising across different strategies (eg accommodation, ICT, HR, information management, etc) impede delivery.

Mitigation:

- *Agreement of the strategy by the Management Boards of both Houses*

- *Regular progress reports to both Management Boards*

- *All programmes/projects to produce robust and reliable resource estimates for each year's work to be fed into business planning cycle for both Houses*

- *Departmental senior management teams and Management Boards of both Houses to ensure ICT, information management, and other business strategies are correctly aligned and resources prioritised across them*

6. Underlying Principles

6.1 In 2008 the Management Boards of both Houses approved a set of nine knowledge and information management principles. These principles apply equally to the House of Commons, the House of Lords and PICT and to all information resources which are shared across and between them.

6.2 These principles are restated below, along with the actions that should be taken as part of the strategy to embed them into the working practices of both Houses. The principles have been collated under five key headings but they remain based on a a single guiding principle that **information is a corporate resource**:
  1. **information value and value for money**
  2. **custody**
  3. **usability and reusability**
  4. **one version of the truth (authenticity)**
  5. **compliance**

6.3 <u>Principle 1: Information value and value for money</u>
  a) Parliamentary information has a value based not only the importance, uniqueness or potential of its content, but also on the actual cost of staff time in acquiring and creating that information, storing it (whether on paper or digitally) and in managing it responsibly so that misuse does not lead to a statutory fine or damage to the reputation of Parliament.

  b) All information handled in the course of official duties should be regarded as a corporate resource (even where access is limited to one or to a few users for business or privacy reasons). It should be created and maintained to ensure that it is fit for purpose in respect of its accuracy, reliability and timeliness.

  c) Actions:
  - GIM: To agree corporate metrics for measuring information costs to inform business cases; to assess the costs of storing and managing information electronically alongside the costs for hard-copy; to provide guidance on how to represent the costs/benefits of information storage.
  - Programme Boards, PICTAB, and GIM: To ensure the double-counting of benefits in ICT/ IM programmes is avoided. Assurance will be provided by Gateway Reviews.

- GIM, DIROs (HC): Information custodians and senior management to be aware of the value of the information in their care and the cost of creating, storing and managing it – by means of guidance and communications; sensitive information to be recorded in departmental information asset registers.

- GIM: To facilitate greater collaboration between information custodians to ensure information is not already held elsewhere and recreated or duplicated.

- GIM: To agree and publish a channel strategy (and supporting guidance/policies).

- GIM: To develop the strategy to meet our long-term vision (by 2012/13).

6.4   Principle 2: Custody

a)   Staff are the trusted custodians of the raw data, publications and records[1] which are received, created and disseminated in the course of the [administration of each] House's business. This imposes a duty on staff to use the official systems and channels provided by each House with impartiality and discretion.

b)   Information created for official purposes should have one primary custodian. Custodians may delegate day-to-day management and transfer custody if clear and auditable procedures are followed.

c)   Actions:

- GIM, PICT, SPIRE, Web Centre, IRIS, Records Management team: To produce clear guidance, policies, communications and training for the use of official information channels.

- Programme and Project Boards: To ensure clear guidance, policies, communications and training are provided for staff for the use of new information systems; to ensure information flows are mapped and documented.

- IRIS, Archives, Records Management team: To produce and publicise clear standards governing the creation, use, description, storage, security and preservation of information based on best practice and appropriate standards.

- GIM, HR/Learning & Development: To ensure suitable training is available for all staff, including at induction, on all aspects of information management, including security, compliance and managing risk.

- GIM: To develop an inventory of custodianship and process for management of that inventory, including clear rules over responsibility when information is transferred from one custodian to another.

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[1]   The term "information" is used here to mean all three categories except where explicit differentiation is required.

- Libraries, Archives: To develop, maintain and publish appropriate collection and acquisition policies.

6.5 Principle 3: Usability and reusability

a) All information should be fit for purpose and appropriate to the audience.

b) Information management processes should be flexible and responsive to changes in the internal or external environment.

c) ICT should support user and business information management needs not define them.

d) All information resources should be created, stored and made available in a way which enables them to be shared with those who have a business need to use them.

e) Actions:

- GIM, PICT: To adopt develop and document agreed data and metadata standards to allow interoperability of information.

- Programme and Project Boards: To re-use existing information services, wherever possible, in the development of new applications; to ensure agreed data/metadata standards are complied with; to ensure that content is stored/managed separately from presentation in new applications; to consider what information could be re-used and develop shared services to provide access to that information by others; to use agile techniques to develop flexible systems with good change control.

- GIM, Vote Office, PICT: To develop a strategy that establishes digital as the primary publication form for procedural information.

- GIM, Archives, PICT: To identify and prioritise hard-copy information that has high re-use value and develop a long-term digitisation plan for this information.

6.6 Principle 4: "One version of the truth" (authenticity)

a) Information should be managed to avoid duplication and overlap and to ensure that there is one single authoritative version.

b) Actions:

- GIM: To maintain a strategic oversight of IM activities to ensure we are not reinventing the wheel; to identify any gaps in information flows/business processes that cause data to be replicated and make recommendations for projects to close such gaps.

- SPIRE: To provide effective management of unstructured data including documents and records.

- Programme and Project Boards: To ensure new applications avoid data duplication and ensure validation of data through structure, data and metadata standards; to contribute to the creation of a common,

authoritative source of key data which can be re-used (an open, digital data repository).

6.7 <u>Principle 5: Compliance</u>

a) All information should be created, managed and stored in a way which is secure and consistent with both Houses' separate legal obligations (e.g. under Data Protection, and Freedom of Information). Where there is a valid reason to restrict access, then it should be managed rigorously.

b) Information should be retained for a period consistent with its business value and should be deleted when no longer required, in accordance with the agreed retention policy. It should be stored and managed so that material of longer-term value and required to support decision-making or for accountability purposes can be selected and preserved, irrespective of type or format, with its content fixed securely and the corporate business context clear [i.e. as records].

c) Actions:

- GIM: To co-ordinate the development, review and updating of relevant policies; to ensure that policies have clear owners; to identify gaps or disconnects between policies.
- Programme and Project Boards: To ensure all appropriate policies are embedded in new or updated applications to reduce risk.
- Policy owners: To monitor compliance with their policies and review them regularly; to ensure that staff are aware of and trained in the application of these policies.

Appendix 1:

Relationships between key programmes

Procedural/Knowledge

| Procedural Data Programme | Benefits |

| CPIMF Programme |

| Web & Intranet Services |

| Digital Preservation Programme |

The four programmes/ services have a common vision: to deliver information in a more streamlined and efficient way, achieve cost savings and enhance the reputation of Parliament through greater transparency and access to information by the public. Together they will deliver the following benefits:

Core applications replaced/rebuilt to output agreed XML

**Members Names
Calendar data
Hansard Suite replacement
Bills and Acts
European Scrutiny**

Content in Core applications can be properly tagged and indexed

**Thesaurus/Taxonomy management
Indexing tools
Deposited Papers
Current awareness
PIMS decommissioned**

Content can be published online in xml and dynamically in line with usability and accessibility standards

**Content Management System
Search
Mobile framework**

Published context captured as part of web archive for future users. Original xml content stays accessible through time despite software obsolescence

**Digital repository
Web archiving
Preservation in situ
Technology standards**

*Benefit 1: Improved efficiency
Benefit 2: Improved value for money through more effective use of resources
Benefit 3: Improved service to users
Benefit 4: Improved reputation and user confidence
Benefit 5: Compliance with legislation and reduced corporate risk
Benefit 6: Improved capability*

Commonalities / Interdependencies / Assumptions

These assumptions apply to all programmes/services and are required to achieve the benefits:
- Robust and scalable Hosting Solutions are in place for Procedural, CPIMF, and web content
- Common standards are agreed and the basis for all development
- Service levels and support model in place
- Re-negotiation of the TSO contract and transition to internal provision achieved
- Infrastructure Programme provides portal/interface and robust data storage.
- Unstructured documents/records will be managed through SPIRE.

SPIRE / Digital Preservation

SPIRE Programme

Web & Intranet Services

Digital Preservation Programme

Unstructured records and emails created, searched, stored and disposed of.

Legally admissible and compliant

Print to paper policy abolished

EDRMS
Classification scheme
Culture change

Some records in SPIRE (eg committee reports) published to web

Intranet not used as long-term document store

Content Management System Search

Parliamentary information required permanently or long-term is selected and archived.

It remains accessible despite technology obsolescence, for use by future users inside and outside Parliament.

Digital repository
Web archiving
Technology standards

Benefits

The three programmes/ services have a common vision: to deliver information in a more streamlined and efficient way, achieve cost savings and enhance the reputation of Parliament through greater transparency and access to information by the public. Together they will deliver the following benefits:

Benefit 1: Improved efficiency
Benefit 2: Improved value for money through more effective use of resources
Benefit 3: Improved service to users
Benefit 4: Improved reputation and user confidence
Benefit 5: Compliance with legislation and reduced corporate risk
Benefit 6: Improved capability

Commonalities / Interdependencies / Assumptions

These assumptions apply to all programmes/services and are required to achieve the benefits:
- Parliament's unstructured information will be principally in MS Office or other approved formats
- Corporate applications (eg HAIS, Facilities) do not stored unstructured information and other storage for unstructured data (eg shared drives) are phased out.
- CPIMF available for Federated Search, thesaurus/taxonomy management, etc
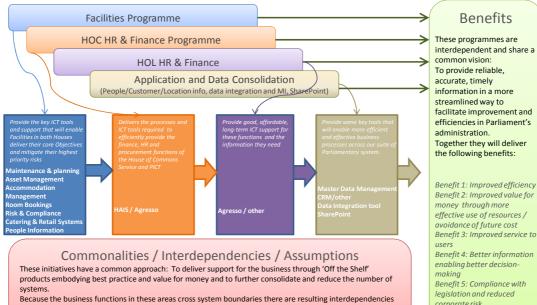- Infrastructure programme provides SharePoint, MS Office interfaces and robust data storage.
- Change is handled by each programme and supported to minimise disruption to users

Support Systems

Facilities Programme

HOC HR & Finance Programme

HOL HR & Finance

Application and Data Consolidation
(People/Customer/Location info, data integration and MI, SharePoint)

Provide the key ICT tools and support that will enable Facilities in both Houses deliver their core Objectives and mitigate their highest priority risks

Maintenance & planning
Asset Management
Accommodation Management
Room Bookings
Risk & Compliance
Catering & Retail Systems
People Information

Delivers the processes and ICT tools required to efficiently provide the finance, HR and procurement functions of the House of Commons Service and PICT

HAIS / Agresso

Provide good, affordable, long-term ICT support for these functions and the information they need

Agresso / other

Provide some key tools that will enable more efficient and effective business processes across our suite of Parliamentary system.

Master Data Management
CRM/other
Data Integration tool
SharePoint

Benefits

These programmes are interdependent and share a common vision:
To provide reliable, accurate, timely information in a more streamlined way to facilitate improvement and efficiencies in Parliament's administration.
Together they will deliver the following benefits:

Benefit 1: Improved efficiency
Benefit 2: Improved value for money through more effective use of resources / avoidance of future cost
Benefit 3: Improved service to users
Benefit 4: Better information enabling better decision-making
Benefit 5: Compliance with legislation and reduced corporate risk
Benefit 6: Improved capability

Commonalities / Interdependencies / Assumptions

These initiatives have a common approach: To deliver support for the business through 'Off the Shelf' products embodying best practice and value for money and to further consolidate and reduce the number of systems.
Because the business functions in these areas cross system boundaries there are resulting interdependencies and a considerable need to integrate these systems.
The Digital Preservation project will provide appropriate solutions for, and advice about, any information within these systems which requires permanent preservation