LEICESTER CITY COUNCIL'S ICT AND E-MODERNISING LEICESTER STRATEGIC FRAMEWORK
March 2004 – March 2007

1.   INTRODUCTION

This document sets the strategic framework for ICT investment across Leicester City Council. ICT is one of the Council's core strategic resources, along with Property, Staff and Finance, and is a key contributor to the delivery of the Council's Corporate Aim:

> *'To make Leicester more attractive for our diverse communities to live, work and invest in.'* (Corporate Plan 2003/6)

To varying degrees, ICT will contribute to all the Council's key priorities so it is important that our investment plans are coordinated to ensure that we maximise the return on any investment. Specific references to this strategy are contained in sections G6 and I1 of the Corporate Plan.

Therefore the principal aim of the Council's ICT and e-Modernising Leicester strategies is:

> *'To support delivery of the Council's Corporate Plan through the efficient and effective use of ICT*

This framework document includes a short analysis of our current position and the context in which we are working. It also includes details of our priorities for improvement and consideration of how we will assess our performance.

Previous ICT strategies have been inwardly focused with an emphasis on improving our business infrastructure. This major update of the strategy has a wider horizon with a greater emphasis on our use of ICT to improve the way we interact with our service users and our business partners in other organisations. The strategy incorporates our response to the National e-government agenda, which aims to transform public services through the use of information and communications technology.

This framework document, together with the following documents, forms the whole strategy and gives a comprehensive picture of how we will achieve our stated objectives:

i.   E-Modernising Leicester

This document set out a vision and internal targets and measures for e-services including customer take up, customer satisfaction and value for money/ cost effectiveness. It also includes our response to national e-government projects and also how we will implement enhanced security, authentication and authorisation facilities to enable full transactional e-contact with the business. The document considers how the Council is using ICT to contribute to its plans for enhancing local democracy and for promoting economic vitality and includes an equality checklist for e-projects.

ii.   Core Systems Strategy

The Council relies on a range of key operational and support systems that are common to all departments and therefore part of the Council's information infrastructure. Examples include e-mail and the Intranet, Payroll and the General Ledger. This strategy documents our plans for developing these core systems over the next three years.

iii.   Technical Infrastructure Plan

This plan details the changes we expect to our underlying technical infrastructure and also how we plan to deal with emerging technologies. It includes security considerations, including business continuity.

iv.   Departmental ICT and e-modernising strategies

Detailed departmental investment plans are included in service specific strategies.

v.   Leicester's IEG statements

Government require annual IEG statements to give detail on plans and progress in achieving the e-government targets.   We have produced three plans – 2001/2, 2002/3 and 2003/4.

vi.   Customer Access Strategy – *making our services more accessible, more convenient and more responsive*

We are continually developing a range of complementary access channels to reflect the different ways service users expect to contact us. These include face-to-face contact, e-mail, the Internet and telephone. As well as our plans for improving customer access, this

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document considers how service users should be engaged in helping shape service delivery.

vii.   Information Management Strategy

The 1998 Data Protection Act and the Freedom of Information Act 2000 are having a major impact on the way the organisation handles it's data. This document describes the Council's Information Management strategy and its immediate priorities to ensure the Council is ready for January 1st 2005 when the Freedom of Information Act takes full effect. It includes the Council's retention and deletion policy and consideration of electronic document management issues.

viii.   ICT @ Leicester

Standards, polices and procedures for the management of ICT are detailed within 'ICT @ Leicester' which is available on the Intranet.

Taken together these documents represent a comprehensive programme of work, set within standards, polices and procedures, that is an essential contribution to the Council's Corporate Aim as well as delivering many of the improvement objectives set by government through Best Value and the Comprehensive Performance Assessment (CPA).

For more information, or for copies of the other complementary documents, refer to the Council's ICT Intranet.

2.   CURRENT POSITION

Leicester has a history of recognising the important strategic contribution that ICT can make to the business. The following statements capture a flavour of the Council's ICT strengths and weaknesses as at January 2004:

Strengths

- The Council has a modern, secure, resilient ICT infrastructure that includes high bandwidth services to all its major buildings (the one exception to this is Greyfriars).
- Business continuity has been a priority for many years and it has established, regularly tested arrangements in place for its AS/400 and Sun corporate computing resources based on a recovery centre near the City boundaries.
- ICT provision is largely centralised which allows us to develop effective BCP arrangements and also benefit from economies of scale.

- The Council has adopted corporate solutions (i.e. all departments use the same system) for its core business applications including e-mail, Intranet, financial management, payroll and personnel.
- We are making good progress towards e-enabling our services with some 60% being e-enabled as at July 2003 (based on the IDeA electronic service delivery toolkit).
- We have recently introduced Customer Relations Management (CRM) software, to support front of house services (the Customer Services Centres and the Customer Services Line). CRM will interface directly and seamlessly into the Council e-mail system, and with other key back office systems.
- The Council's Land and Property Gazetteer (LPG) holds a list of all land and property 'parcels' across the city. Each 'parcel' is assigned its own Unique Property Reference Number (UPRN), which will be key to facilitating the joining up of systems across the Council. The LPG is at the heart of the Council's Intranet mapping system *City StreAtZ*.
- Most office-based staff and Members are connected to e-mail and the Intranet.
- There are many examples of best practice across the Council – homeworking arrangements in Regeneration and Culture, document management and workflow in Housing, Smartcard technology in Regeneration and Culture and the award winning *Disabilities Information and Communication Network* in Social Care and Health.

Weaknesses

- ICT service provision to some of our smaller, remote buildings is very poor with staff relying on slow, unreliable modem links to corporate systems.
- The Council's thinking in terms of corporate information management needs developing. There is no established and consistent records management approach, which is inefficient in organisational terms.
- Existing arrangements for investing in ICT (with moneys entirely devolved to departments) makes it more difficult to ensure that all investment is contributing to the overall strategic aims of the Council rather than simply the narrower section or departmental aims of the budget holders.
- Arrangements to promote best practice are limited to a twice-yearly IT Awareness event and too often new projects 'start again' rather than build on existing knowledge.
- There are no corporate, or departmental, PC replacement strategies in place. Following extensive capital investment in PCs over the last two to three years this could lead to major budget problems within the next eighteen – twenty four months. This is a particular problem in Libraries where government grant was available to purchase 180 PCs for its People's Network project, but

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no revenue funding was made available for on-going support and maintenance. The PCs will come to the end of their useful life within the timeframe of this strategy. The People's Network provides everybody with free access to ICT resources, particularly the Internet, and is key to maintaining social inclusion for those who otherwise couldn't afford access to ICT.

3. **CONSULTATION AND PROCESS FOR AGREEING THE STRATEGIC FRAMEWORK**

The strengths, weaknesses, aim, objectives and principles were developed through a series of workshops with senior managers and key users across the Council during 2003. These were then consulted on via the Strategic Resources Group, Heads of ICT, and workshop attendees.

Strategic Resources Group is the officer group responsible for ensuring the strategy is developed and for monitoring its implementation. The final strategic framework goes to Cabinet for political endorsement.

The Service Director (ICT & Customer Access) is responsible for co-ordinating the development of the strategic framework, for engaging key stakeholders and for overseeing its implementation. Much of this is facilitated through the Heads of ICT Group.

The strategic framework will be updated annually during August - September, with a full update every three years.

4. **CONTEXT**

The Council's principal purpose is best summarised in the Corporate Plan. Within the framework of the Corporate Plan each department has its own local priorities and issues that will influence the shape of the Council's ICT strategic framework. Looking at each department in turn:

Chief Executive

In addition to systems for managing the key resources of the Council, ICT will play a significant part in managing performance effectively, engaging the diverse community in consultation and democratic processes, in communication at a corporate level and in providing information to ensure equality and community cohesion.

Specific and potential developments in the Chief Executive's office over the next few years will be:

- The performance indicator database
- Consultation tool kit
- People's panel database

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- The council's web site
- Strategic planning

Social Care and Health

SC&H's principal partners within the Council are Education and Housing, but in practice their work is shaped more by partnerships with the Health Authority and the voluntary sector. Social Care and Health are required to submit a departmental ICT strategy to the department of Health each year. Their departmental ICT investment priorities are strongly influenced by national agendas and priorities. Key priorities for the period 2004 – 2006 include:

i. Bridges/IRT/Integrating children's services
ii. Responding to the requirements highlighted in the Green Paper 'Every Child Matters' and Children Bill
iii. Electronic social care records
iv. Joint working with health on Mental Health
v. Joint working with health on Learning Disabilities
vi. Single Assessment Process
vii. Fair Access to Care Services

As well as these, the department is also committed to:

i. Further embedding Carefirst in the department to enable the maximum benefit from the investment made
ii. Evaluating and adopting more mobile computing resources to support operational fieldwork with access to electronic records
iii. Improving access to electronic records by partner agencies, small sites and mobile staff
iv. Provide appropriate cost-effective access to electronic health and social care records and systems to joint social care and health teams in shared buildings
v. Establishing a framework to lawfully share information with health and voluntary sector agencies to enable improving care processes
vi. Reviewing the ICT infrastructure provision at remote social care sites in Leicester

Housing

The Housing Department's core business is the provision of social housing. In this role the department is the largest landlord in the City, managing and maintaining more than 25,000 homes. Within the Council our principal partner is Social care & Health. Partnerships with other social landlords are important. Joint working with the Health Authority, Police and Probation services is well established in some service areas.

The Housing Department produces an ICT strategy, which is reviewed every three years and updated annually.

Key business priorities for the period 2004-2006 include:

i. The completion of a fit for purpose Stock Options Appraisal
ii. The restructure of housing rent charges
iii. To address the shortfall in affordable housing
iv. To meet the Decent Homes Standard target by 2010
v. To improve affordable warmth for vulnerable households (to assist 2250 households by 2005)
vi To build and operate a new Multi Disciplinary Centre for the City

As well as these the department is also committed to:

i. Improve the performance of the Housing Benefits service and merge the Housing Benefits and Council Tax services
ii. Achieve an excellent rating for the Housing Management Service on Best Value Inspection
iii. The successful implementation of new comprehensive integrated Housing Information System
iv. Extend the improved effectiveness provided by electronic document management systems to other housing services

Resources, Access and Diversity

The Resources, Access and Diversity Department's role is to help the Council serve Leicester people as citizens, service users and communities through making the best use of corporate resources – finance, IT, people, property - making sure the Council acts with probity and integrity; and. ensuring fair, inclusive and convenient access to Council services. The department includes the Council's corporate ICT supplier, the ICT & Customer Access division, and has lead responsibility for the e-modernising Leicester and Customer Access agenda. Key to shaping its business priorities for the period 2004 – 2006 inclusive is using technology to improve accessibility, involvement and value. These will be achieved through:

i. Provision of a "One Stop Shop" access to Council Services by linking back office service provision with first line customer access through use of the Customer Relationships Management System.

ii. Use of "Middleware" to both assist in linking to the back office and in joining-up inter-agency working.

iii. Migration of systems to use the Land and Property Gazetteer as the single address source. This will allow us to better manage address change notification and join-up key information systems for management reporting.

iv. Provision of self-service access to services through effective security and authentication solutions so we can be confident of the integrity of our data and that the customer is who they say they are.

v. Making full use of the improved email, diary management, mobile computing and group working facilities available with introduction of Groupware.

vi. Harnessing the power of the Internet to drive down prices paid for goods and services through e-Procurement.

vii. Improving value and effectiveness through the implementation of an integrated Payroll and Human Resources management systems.

viii. Rationalising mid-range computing through the migration or replacement of AS/400 applications with Unix applications as and when appropriate.

ix. The introduction of Commitment Accounting for transactions with third party suppliers.

x. Participation in the consultation process for modernising the Registration service.

xi. Continued implementation of the Property and Asset Management Information System, PAMIS, through integration with Financial Systems and the Gazetteer.

xii. Attainment of NLIS Level-3 status whereby transfer of information between our Land Charges System and NLIS is automated. Improve the Land Charges System whereby Land Charges will have access to data being maintained by other sections

Education and Lifelong Learning

The Government has clearly articulated the need for schools to make ICT integral to all learning and administrative processes. Significant funding has been made available to LEAs and schools to enable this to happen.

Through the Government's ICT in Schools programme Leicester City schools have seen massive improvements in ICT infrastructure. Our priority now, as set out in the DfES publication "Fulfilling the Potential" is to nurture parallel transformation in the use of ICT as a powerful tool for learning and teaching enabling the learning process to be enhanced, extended and enriched. In short we need all schools to become e confident.

In March 2000 Ministers agreed a "framework for action" which aimed to improve the way that management information about schools, teachers and pupils is defined, processed and used. The framework focussed on the need to manage information effectively and set

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common standards for ICT. This is now closely linked to the Government's agenda for sharing child data across current boundaries. The rationale for this data sharing is set out in the green paper "Every Child Matters".

The department sees ICT as a key tool for community development and learning and the government has identified e-government as one of the main areas of activity for public library services.

Key priorities are:

i. To ensure learning and teaching through ICT will be at least satisfactory in all city school, with all schools committed to achieving excellence.

ii. To develop e-learning, to support innovative, engaging and effective learning and teaching.

iii. To have teaching and learning communities that make full use of ICT as a communication tool, e.g. the use of web based discussion forums for teachers, the use of Libraries for pupils to access homework on-line.

iv. To enable *all* Leicester schools to have access to a regional learning portal, using Broadband technology and to work with partners to ensure this is brought about.

v. To reduce bureaucracy and increase access to information through the e-modernisation agenda by ensuring that the DfES "Information Management Strategy" is implemented effectively.

vi. To encourage school and departmental staff to see data as valuable and have the ICT skills to use it effectively.

vii. To continue to establish comprehensive data sets and enhanced data collection methods including increasing our use of web based systems.

viii. To continue to develop our integrated management information system. The next phase to be:
- the implementation of on-line integrated Attendance module;
- completing the roll-out of the performance management module;
- the implementation of an on-line school admissions process.

ix. To continue to work with a range of partners including Social Care & Health, other LEAs, the Health Service, etc. to accelerate our information sharing agenda.

x. To enhance ICT provision and network access across all Community and Neighbourhood Centres.

xi. To develop opportunities in public libraries for on-line learning initiatives and to increase the range of on-line information resources for adults and children in local libraries.

xii. To complete the implementation of the national Student Awards & Grants system.

xiii. To develop the city-wide network of libraries as key access points for the delivery of universal access to the Internet and e

government services in line with government strategy (Framework for he Future DCMS 2003)

xiv.   To make full use of the Internet for the dissemination of information to schools and the wider community and for the purposes of consultation.

xv.   To make full use of Document Image Processing technologies to enable more effective use of space and of working practices.

Regeneration and Culture

The Regeneration and Culture department's services cover a range of diverse functions with widely varying IT resource functions. We are responsible for over one third of the Council's Key Strategies and over half of the current Community Plan's priorities.

Key applications in the department include:

- Datawright (Development Control, Development Planning)
- Uniform (Used by Regulatory Services to, for example, monitor all structures in the city, their uses and occupants)
- City Streatz Intranet Mapping system (used both within the department and corporately)
- StarTrak (Area Traffic Control)
- Urban Traffic Control (Area Traffic Control)
- DIPS (Looking to roll out to other areas of the department)
- VMS (variable message system)
- Mayrise (Highways management)
- System K (Regeneration)
- Parking office for Windows (Traffic)
- Air Pollution System
- Clubman (Sports Centre EPOS System)
- Multi-Mimsy (Museums artefact cataloguing system)
- Databox (Box Office System for De Montfort Hall)

Our departmental ICT investment priorities are strongly influenced by local and national agendas and priorities. Key priorities are as follows:

- Development of licensing systems following the new licensing act
- Extension of our e-government compliance
- Development of the Accident database and Travel Line database

Other developments in the department include:

- Working with the Police on Crime and Disorder issues eg., CCTV, environmental issues and a general sharing of information
- Electronic reporting of our whole range of BVPI's
- Extend the improved effectiveness provided by electronic Document Image Processing Systems to other Regeneration and Culture Services

- Reviewing the ICT infrastructure provision at remote Regeneration and Culture sites in Leicester (including development of wireless networking)
- Development of on-line sales and web booking systems for De Montfort Hall and Sports Services
- Development of the new road and streetworks information service database
- Development of the UNIFORM system

5.   **AIM, OBJECTIVES AND ASSESSMENT**

5.1   Our principal aim is:

To support delivery of the Council's Corporate Plan through the efficient and effective use of ICT.

5.2   Our corporate ICT priorities are reflected in the following objectives (by March 2007)

- To have in place core corporate management information systems that are well used and trusted by managers for:
    o   Human Resources
    o   Finance (including Payroll and Procurement)
    o   Property
- To have in place reliable and cost effective systems that support the Council's business priorities and meet legislative requirements.
- To have successfully delivered the e-Modernising Leicester programme.
- To have in place ICT solutions that facilitate modern ways of working and help to deliver the objectives of the Council's accommodation review
- To develop a corporate electronic document and electronic records management infrastructure that will support compliance with information governance legislation such as the Data Protection Act and Freedom of Information Act and Public Records Office (PRO) standards
- To maintain a secure, reliable, resilient ICT infrastructure that supports continuous service delivery during working hours, and outside of working hours where appropriate e.g. the Internet, and that facilitates the joining up of services within the Council and between the Council and other partner agencies

5.3   Assessing performance – how we will know when we get there

- The availability of accurate and timely management information
    o   The ability to automatically disseminate customers' change of address details to all relevant sections of the Council, subject to legal constraints

- - Core management information systems (including HR, Finance and Property) well used and trusted by managers
- e-Government
  - 100% of relevant services, and those within our control, e-enabled by January 1st 2006
  - Improved customer satisfaction in the accessibility of our services
  - ODPM's acceptance of our IEG Statements
  - www.leicester.gov.uk statistics indicating growing usage and positive user feedback.
  - Positive recognition in the SOCITM Better Connected survey
- Modern ways of working
  - ICT solutions in place and being used that support home-working and hot-desking
- Electronic document and records management
  - Existence of effective electronic records management and electronic document management strategies
  - Greater use of electronic documents
  - Compliance with information governance legislation
- ICT Infrastructure
  - Existence of documented business continuity plans
  - Tested and demonstrable recovery arrangements from any major incident within 72 hours
  - Minimal loss of systems or data from virus attacks
  - Secure electronic sharing of data with other agencies
  - All users, across all sites, able to access the Council's core applications over a connection commensurate with their needs
- Best Value
  - Good Best Value Inspection report
  - Continually improving performance as measured by SOCITM KPIs.
  - Improved customer satisfaction in the delivery of front line services

6.   PRINCIPLES

The following principles, or 'ground rules', must be followed for all ICT investment.

- Key stakeholders must be involved in the choice of application software and their involvement should continue throughout the project implementation.
- Equal opportunities implications associated with the use of ICT must be carefully considered to ensure social inclusion and to cater for the diverse needs of all customers irrespective of their age, gender, physical or financial ability, ethnic origin, race or religion. The corporate Equality Policy and the e-Modernising Leicester Equality Checklist provide appropriate guidance.

- Implementation must be according to Council recognised Project Management standards.
- There will be a presumption towards seeking a corporate solution for all new systems, where appropriate.
- Business continuity provision must feature as part of any investment decision.
- To ensure accuracy and to facilitate improved management information, address data should be taken electronically from the Council's Land and Property Gazetteer.
- Where opportunities allow, we will work in partnership with other agencies in the interest of providing joined up public services.
- The following systems are deemed corporate and there should be no local equivalents developed. Where a service does not feel the corporate system meets their business requirements, the issue should be raised with the Principal Customer (in brackets), at the appropriate business forum, at SRG or Heads of ICT.
    - E-Mail (Service Director – ICT & CA)
    - The Intranet (Service Director – ICT & CA)
    - CRM (Service Director – ICT & CA)
    - FMIS (Chief Finance Officer)
    - Payroll (Chief Finance Officer)
    - Personnel (Service Director – HR)
    - PAMIS (Service Director – Property)
    - Mapping (Service Director – ICT & CA)
- Where an application shares a dataset with other applications every reasonable effort should be made to ensure that data is input and stored only once. If a solution is not immediately obvious, the issue should be drawn to the attention of the Heads of ICT Group to consider.
- The preferred solution should always be chosen according to organisational business need. The following is a list of technical parameters that must be supplied to any potential supplier. It is unlikely they will limit product choice, but where this is the case, the issue should be raised with ICT Services via the Heads of ICT group to work through a solution:
    - All UNIX solutions must be capable of running under SUN Unix.
    - Standard network operating system - Novell Netware
    - RDBMS requirements – Oracle or SQL Server
    - Network Printing – Hewlett Packard or Epson
    - Application Software must interface with Council application systems where appropriate

(*An expanded version of this detail is available from the IT Contract team for inclusion in all tenders*).
- All investment must be subject to an investment appraisal. As long as the investment satisfies the other principles listed here, it is sufficient for the appraisal to be considered and approved by those parties who will be funding the investment. If a proposed investment deviates from these principles the lead officer should first discuss the implications with the Head of Profession.

- Major projects must adhere to the PRINCE 2 methodology. Post-implementation reviews must be carried out for all major projects.
- The ICT & Customer Access division of the Resources department must be advised of all proposed system developments or procurements (including web developments). Notification should be via the Heads of ICT Group meetings or directly to the Service Director if no meetings are planned before a decision needs to be made. This is necessary to ensure developments fit within the corporate ICT Strategy and to allow ample opportunity to identify and respond to any potential infrastructure or network security implications.
- New systems must be BS7666 and e-GIF compliant, and adhere to Web Content Accessibility Guidelines where applicable. Document management systems must be PRO compliant. (For further details see ICT @ Leicester)

7   Resources and funding

See detailed reports (referred to in section 1) for information about resources and funding.

8   Risk management

Risk	Likelihood	Potential Impact	Actions to mitigate against
Insufficient resources to deliver the strategy	Medium	High	ICT strategies to include detailed resource plans. Include ICT resource plans within business plans and departmental budget strategies.
Lack of commitment to the strategy/ deviation from the strategy without consultation and agreement	Medium	High	Regular progress reviews. Heads of ICT and SRG to actively promote the strategy within departments. Commitment from Corporate Directors and Members. All proposed ICT investment to be discussed with the Head of Profession.
Strategy not sufficiently flexible to accommodate major organisational change	Low	Medium	Regular reviews. The need to be flexible should shape the development of the strategy.
Loss of perspective.	Low	Medium	All major investments to

Allowing technology advances to distract us from the Council's business needs			be accompanied by a business case.

Glossary of terms

AS/400	A popular mid-range computer machine manufactured by IBM
BCP	Business Continuity Planning - processes and procedures to ensure that essential functions can continue during and after a disaster
CareFirst	The information management system used in Social Care and Health department
CPA	Comprehensive Performance Assessment
CRM	Customer Relationship Management – software that helps an organisation manage relationships with customers in an organised way. Providing staff with the information and processes necessary to know their customers, understand their needs with the aim of improving customer satisfaction
DPA	Data Protection Act 1998
e-contact	Electronic contact – for example contact over the phone
e-GIF	Electronic government interoperability framework
e-government	Electronic government or modernisation of public services through ICT
e-mail	Electronic mail - the exchange of computer-stored messages by telecommunication
e-Procurement	Electronic procurement - the business-to-business purchase and sale of supplies and services over the Internet
e-projects	Electronic projects – projects involving ICT
FMIS	Financial Management Information System
FOI	Freedom of Information Act 2000
Groupware	Programs that help people work together collectively and can include shared calendars, collective writing, e-mail handling, shared database access and electronic meetings
Hot-desking	Staff sharing a desk at work
HR	Human Resources
ICT	Information and communications technology
IDeA	Improvement and Development Agency
IEG	Implementing Electronic Government
Internet	A worldwide network of computers open to the public
Intranet	The Council's web site with access restricted to staff and Members
KPI	Key Performance Indicator

LPG	Land and Property Gazetteer – an index of land and property in the city
Middleware	Software that connects different computer applications
NLIS	National Land Information Service
ODPM	Office of the Deputy Prime Minister
PAMIS	Property Asset Management Information System
PC	Personal computer
PRINCE 2	The project management methodology widely used in the UK public sector
RDBMS	Relational database management system
Smartcard	A plastic card, about the size of a credit card, containing a microchip that can be loaded with data.
SOCITM	Society of IT Managers
Unix	A computer operating system
UPRN	Unique Property Reference Number – a national standard number to uniquely identify any property in the UK
Workflow	The tasks, procedural steps, people involved, and tools needed for each step in a business process