

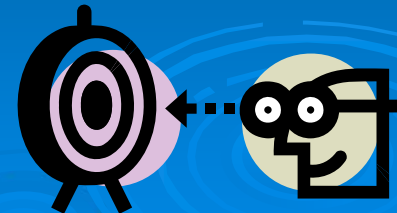


Freedom of Information Draft Government Wide Implementation Plan

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& Mike Johnston, Project Manager
28 September 2007

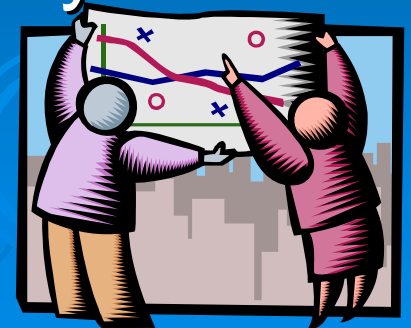
Objective

- Present the draft Government wide implementation plan
- Outline the strategies for success as determined by the Freedom of Information Steering Committee
- Highlight key milestones and reporting requirements



Strategies

- Implementation Planning
- Information Technology
- Communications and Public Participation
- Training and Records Management
- Comprehensive Regulatory and policy Framework
- General strategies to be adopted by all public authorities



Implementation planning

- Prepare FOI government wide implementation plan and obtain comments from public and private sectors – to FOI Unit by **31 Oct 07**
- Plan approved by cabinet & published
- Track progress of milestones
- Report to Cabinet on organisations achievement of outputs and compliance with milestones under the plan



Baseline Assessment & Model action plan template

- Provide all public authorities with baseline assessment questionnaire to evaluate their starting point
- Conduct analysis of results once returned
- Distribute a model action plan template
- Outline major reporting functions
- Outline a deadline to complete action plan
- Provide advice and support during the planning process

Public Authority costs

➤ Staffing

- Appoint an Information Manager
 - as early as possible
 - encouraged to appoint current staff
- Model JD for Information Manager is available

➤ Records survey & file plan

- Critical to identify Records Officers to do these tasks

➤ Equipment purchases

- Office furniture, photocopiers etc

Communications and public participation strategy

- We need to engage civil servants in the process of implementation (agents of change)
- A process of culture change will be needed
- Public participation is needed in implementation to ensure buy-in and use of the law



Communications and public participation strategy

- Sensitisation sessions
- Round table discussions and forums
- Newsletters, brochures
- Incentive and merit programs
- Specific events to focus public attention on FOI e.g. Sunshine week etc.
- Formation of a civil society advisory group
- Simple messages about FOI and its core values

IT strategy

- Create a **centralised monitoring and tracking system** for requests
 - from FOI Unit budget
- **Up-grade www.gov.ky website** for all public authorities to proactively provide information in electronic form to the public
 - minimum information needed on website by 1 January 2009



IT strategy

- GIS Content writer to ensure standard content on www.gov.ky website for each public authority
- Provision of FOI e-mail addresses for all public authorities
- Upgrade of FOI website to provide information for the public and practitioners www.foi.gov.ky

Training and records management strategy

- Guidance manual will be provided for Information Managers
- Training Groups identified:-
 - Chief Officers, CEO principal officers of statutory authorities
 - Heads of Department by Portfolio/Ministry
 - Information Managers and Records Officers
 - Customer-facing staff
 - General Civil Service
- Content of sessions will be tailored to the needs of each group.



Training and records management strategy

- Stage One (September 2007) briefing for all chief officers, heads of statutory authorities and government companies
- Stage Two (October 2007) briefing of heads of Department by Ministry/ Portfolio alongside person designated to complete action plan, preferably Information Manager

Training and records management strategy

- Stage Three (November 2007 – April 2008) sensitization presentation by FOI unit or Information Manager to raise awareness. Targeted at a universal audience.
 - PowerPoint presentation and discussion
 - **Aim:** provide a broad awareness of the FOI Law, who to refer persons to and Frequently Asked Questions.

Training and records management strategy

- Stage Four (April & May 2008) - a three day course for Information Managers and Records Officers.
 - Repeated in September & October 2008
 - Followed by short specialist seminars.
- Specialists course may be prepared on detailed topics to include exemptions & complaint investigations.

Regulatory Framework



- Prioritize development of FOI Regulations by FOI Unit & assisted by Legal Department
- Review legislation inconsistent with FOI to align with principles of FOI
- Utilise voluntary prescribed forms

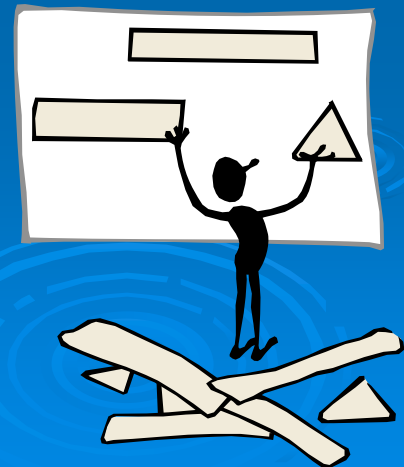
Pro-active Disclosure of Information

- Start now on Publication Schemes
- A genuinely open and active information policy:
 - does not just sit back and wait for requests for information to come in, but looks actively at how people can be offered information
- This could include altering the format of written work (minutes, submissions, reports etc) in order to facilitate the pro-active disclosure of information as a matter of course.



Promotion of a cultural change

- Commitment at a senior level within organisations will be very important in achieving change.
- Requires a change of thinking
 - instead of everything being considered secret unless otherwise stated, information is to be regarded as open to the public unless it falls within an exemption
- **An implementation coordinator to promote change is essential – i.e. the Information Manager**



Centralized support from the FOI Unit

- Dedicated and specialised unit providing leadership and support

Functions:-

- **Co-ordination** of implementation
- **Training** of FOI Practitioners
- **Responding** to agencies questions
- **Monitoring** and **Reporting**
- **Sustainability** of implementation
- Limited **public education** role

Set defined Timelines



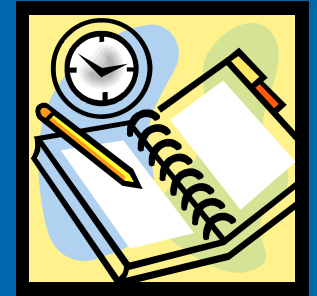
- All Public Authorities need to make full use of time till January 2009
- The timetable - change in culture - legal rights are delivered in practice.
- Public Authorities will have to put structures in place in order to plan for implementation of the Act in the short term and to ensure compliance with the Act in the longer term



FOI Implementation Plan

- to successfully implement the FOI Law in the next 15 months
- implementation to achieve compliance over the long term

Presentation Format



- Implementation planning structure
- Implementation – phases & timelines
- Reporting milestones
- Chief accountabilities
- Immediate ‘must do’ requirements

Implementation Planning Structure



Cabinet Secretary

FOI Steering Committee
(FOISC)

FOI Unit

All Ministries & Portfolios
& some statutory
authorities represented

IT

Legal

Implementation
Planning

Training &
Records
Management

Public
Participation &
Communications

Implementation Work Plan

Making profitable use of the next 15 months

- Detailed **work plan** with allocated tasks
- **Monitoring** of progress through **reports** from:
 - FOISC sub-committees:
IT; Planning; Training & RM; Legal; Public Participation
 - Public Authorities and Ministries/Portfolios
 - FOI Unit & CINA
- **Quarterly FOISC Reports** to Cabinet

Implementation - phases



↓ *You are here*

2007 → ← 2008 → → 2009

15 months later

← **Planning** →



← **Roll Out** →

- Briefings & consultation
- Baseline assessment
- Model Action plan
- Define Special Requirements
- Appoint FOI staff

- Complete Publication Schemes
- Complete records survey
- Action Special Requirements
- Implement IT solutions

← **Training** →

← **Test** →

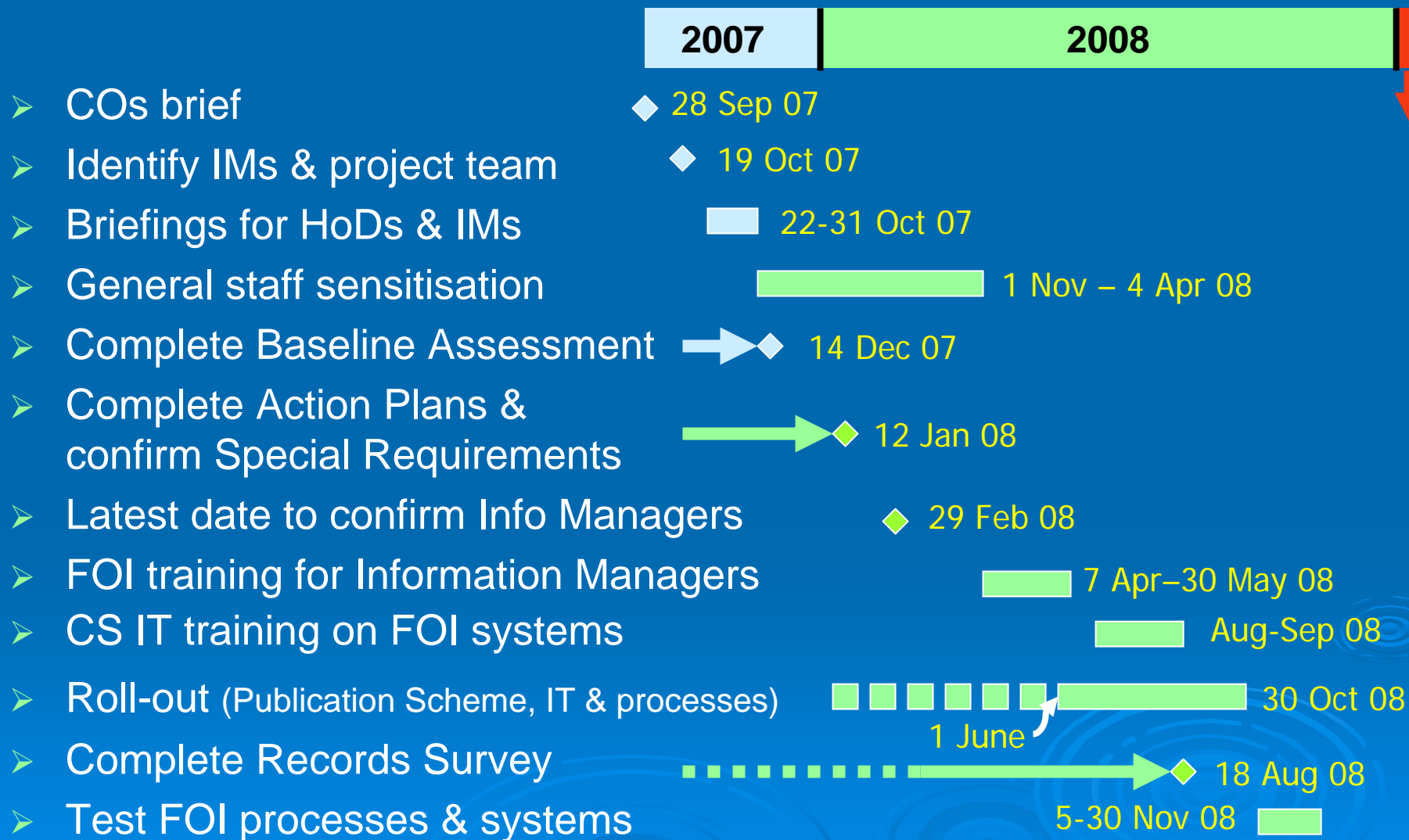
- General staff sensitisation
- Train Info Managers (& Records staff)
- Train customer-facing staff
- IT training

- Quality test:
- Documentation
 - Processes
 - Systems

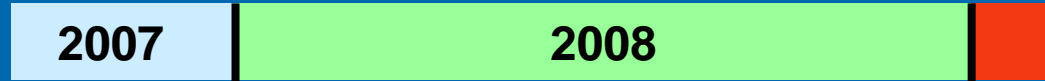
Resource/regulatory development

- IT – tracking, web, e-publication scheme
- Prepare Guidance manual & training material
- Develop FOI Regulations

Timeline/milestones for Public Authorities



Reporting Requirements: FOISC Quarterly Reports to Cab Sec



- COs brief
- Identify IMs & project team
- Briefings for HoDs & IMs
- General staff sensitisation
- Complete Baseline Assessment
- Complete Action Plans & confirm Special Requirements
- Latest date to confirm Info Managers
- FOI training for Information Managers
- CS IT training on FOI systems
- Roll-out (Publication Scheme, IT, processes)
- Complete Records Survey
- Test FOI processes & systems

◆ 28 Sep 07

◆ 19 Oct 07

■ 22-31 Oct 07

■ 1 Nov – 4 Apr 08

→ 14 Dec 07

→ 12 Jan 08

◆ 29 Feb 08

Mar 08

■ 7 Apr–30 May 08

■ 1 June–30 Aug 08

June 08

■ 1 June–30 Oct 08

◆ 13 Aug 08

Sept 08

Dec 08



Progress Reporting Requirements

Activity	Reporting Entity	Report date
Heads of Public Authority attend briefing	FOI Unit	31 Oct 07
Designate IM/FOI Project leader	Ministry/Pub Auth	31 Oct 07
Baseline Assessment submitted to FOI Unit	Ministry/Pub Auth	14 Dec 07
<i>Quarterly Report to FOIISC & Cabinet</i>	<i>FOI Unit</i>	<i>21 Dec 07</i>
Public Authority Action Plan completed	Ministry/Pub Auth	12 Jan 08
Public Auth Confirm Special Requirements	Ministry/Pub Auth	12 Jan 08
Pub Auth confirms Information Managers	Ministry/Pub Auth	29 Feb 08
<i>Quarterly Report to FOIISC & Cabinet</i>	<i>FOI Unit</i>	<i>20 Mar 08</i>
Information Managers complete training	FOI Unit	30 May 08
Number of Records Management staff trained	CINA	30 May 08
<i>Quarterly Report to FOIISC & Cabinet</i>	<i>FOI Unit</i>	<i>19 June 08</i>
Pub Auth complete Records Survey	Ministry/Pub Auth	18 Aug 08
Number of Records Management staff trained	CINA	1 Sept 08
<i>Quarterly Report to FOIISC & Cabinet</i>	<i>FOI Unit</i>	<i>18 Sep 08</i>
Complete provisional Publication Scheme	Public Authority	27 Oct 08
Test systems & processes and advise issues	Public Authority	4-28 Nov 08
<i>Quarterly Report to FOIISC & Cabinet</i>	<i>FOI Unit</i>	<i>18 Dec 08</i>

Chief Accountabilities (& readiness indicators)



You will be ready when your:

- **Information Managers** are trained & **project team** has implemented the action plan
- **Records survey** (as a minimum) is complete (including trained Records Officers)
- FOI processes are working & tested:
 - FOI **request tracking system** functional
 - **Publication Scheme** written & available
 - **Website functional** (where applicable)

Immediate 'must do' requirements for Public Authorities

- Identify Information Managers
& project team **19 Oct 07**
- Head of Pub Auth & Information
Manager attend their FOI briefing **22-31 Oct 07**
- Complete Baseline Assessments
& submit to FOI Unit **14 Dec 07**
- Complete Action Plans
& identify Special Requirements **12 Jan 08**
- Confirm Information Managers
& enroll them for training **29 Feb 08**



Thank you





Format

Baseline Assessment



Model Action Plan



Information Manager JD

Electronic templates are available

Baseline Assessment

- *Designed as a basis for Public Authority Action Plans*
- *Responses need to cover the entire organisation*
- *Best completed involving your Information Manager designate. May need specialist input (e.g. IT support staff)*
- *Needs to be returned to FOI unit by 14 Dec 07*

SECTIONS

- Q1 General Information
- Q2 FOI Awareness
- Q3 Records Management
- Q4 Staff resources
- Q5 Provision of information & proactive publication
- Q6 Identifying special FOI requirements
- Q7 IT readiness

Model Action Plan for Public Authorities

➤ *Designed:*

- *to highlight critical action points*
- *for Public Authorities to adapt for their own use*
- *with explanatory notes & deadlines included*

➤ Sections:

- Background to the FOI Law
- Strategic Guidelines (for Ministry/Portfolio coordination)
- Staffing & planning
- Training & sensitisation
- Information & Records Management
- Systems & Procedures
- Budgeting
- Infrastructure
- Progress reporting
- Approval & delegations

Model Action Plan layout

1. Introduction
2. Background

3. Strategic
Guidelines

4. Scope
5. Staffing & planning

6. Training sensitisation

7. Information & records
management

8. Systems & procedures

9. Budgeting

10. Infrastructure

11. Progress reporting

12. Approval &
delegations

*Ministries,
Portfolios
& head offices*

Public Authorities

Model Action Plan – representative segments

Strategic Guidelines (Ministry/Portfolio)

Leadership & policy

Objective: Ensure the Ministry of has the leadership in place & oversight to coordinate preparation for successful implementation of the FOI Law.

Activity	Responsibility	Timeframe	Staffing, actions & resourcing
Appoint Ministry FOI coordinator		19 Oct 07	
Appoint a project team			
Identify pooling of staff			
Coordinate departmental action plans		12 Jan 08	

Public Authority Section

Staff & planning

Objective: Ensure the Public Authority has the leadership, resourcing & planning in place to prepare for successful implementation of the FOI Law.

Activity	Responsibility	Timeframe	Staffing, actions & resourcing
Appoint Information Manager		19 Oct 07	
Appoint Project Team & Leader			
Complete Baseline Assessment		14 Dec 07	

Information Manager JD

➤ You have been provided with:

- Task list: based on FOI Law & RM requirements
'shopping basket' of tasks that must be allocated to staff
- Generic JD: if you choose to have a dedicated Information Manager at department level

➤ Considerations:

- Some adjustment of principle accountabilities is most likely i.e. added, removed, allocate – depends on your organisation & existing roles
- Grading will depend on the decisions you make



Thank you for participating