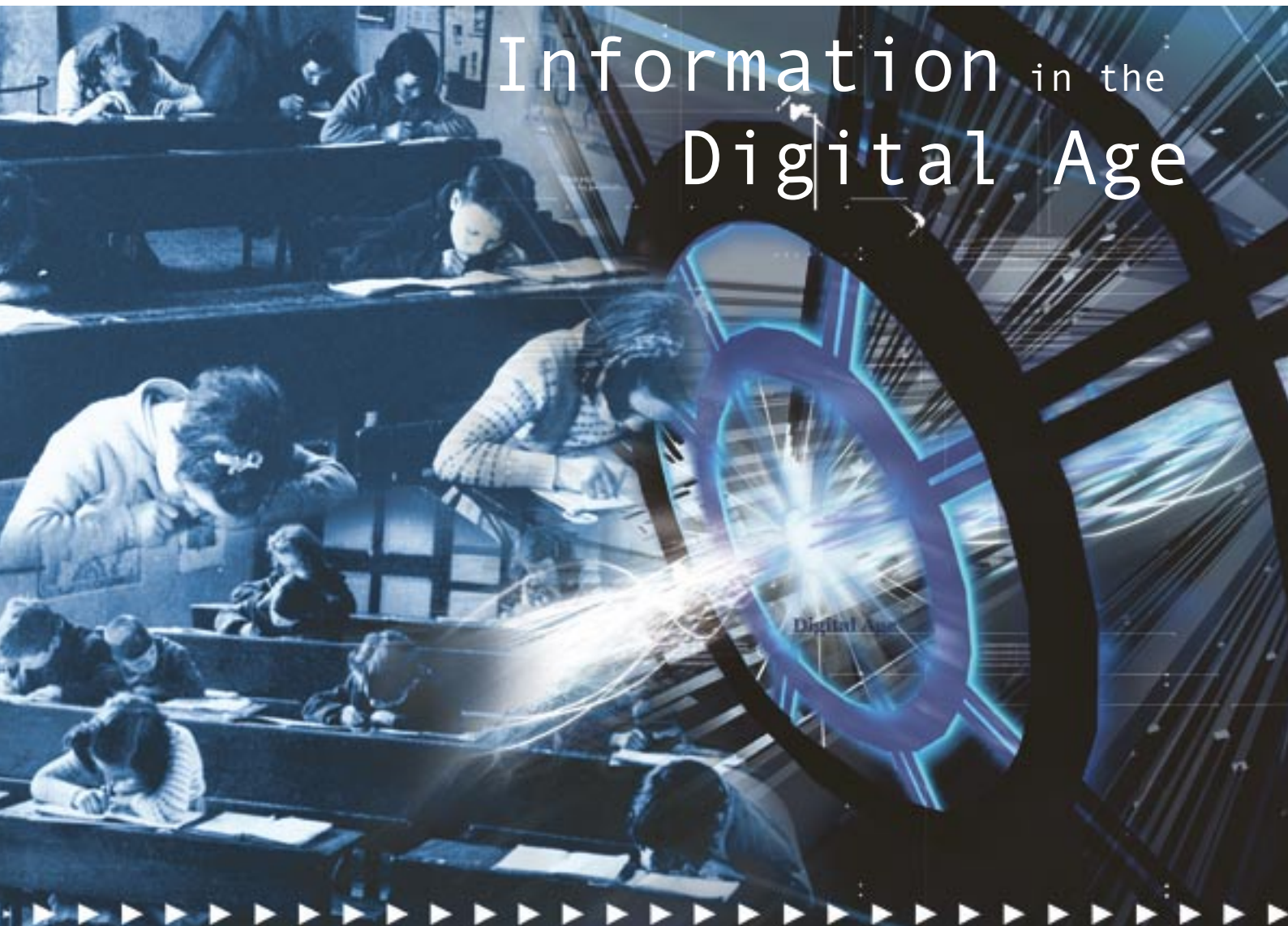




Corporate Plan 2003 to 2006 **Business Plan 2003/04**



An Agency within the Department of Culture, Arts and Lesiure

Information in the
Digital Age



Corporate Plan 2003 to 2006
Business Plan 2003/04

April 2003

Foreword

Since it opened its doors in March 1924 the Public Record Office of Northern Ireland (PRONI) has had a statutory responsibility for the archival heritage of Northern Ireland. It has amassed a huge quantity of mostly paper records – 53 kilometres of boxes containing enough paper to stretch up and down Mount Everest not once or twice but some 400 times. This staggering accumulation of information has been gathered over the decades through the generosity of individual private depositors, the co-operation of Government Departments and other Public Bodies and the enthusiasm and professionalism of PRONI staff at every grade. Together they have created a priceless asset – the written community memory. The Corporate Plan for the next three years and the detailed Business Plan for the next year together seek to build on past achievements.

While the preservation of the community memory is indeed an enormous achievement, it is not of itself enough. Archives cannot thrive or be relevant to society merely by placing boxes neatly on shelves no matter how important the content of those boxes. Having secured the information, the crucial challenge now is to make that information ever more easily accessible to actual and potential users and to encourage use. Everywhere archives suffer from an image problem. Relatively few people come into direct contact

with ‘old documents’, which are all too often seen as dusty artefacts of interest to only a tiny minority. In reality, archives are neither dull nor impossible to understand. They can arouse curiosity, encourage a sense of discovery, provide excitement and pleasure, educate in the widest possible sense and highlight for us what we have in common with other parts of the world and other cultures and where our community experiences have been different. The information contained in archives can be vital in important transactions – for example, in giving proof of age, in identifying relatives, in providing the often tragic details surrounding the death of a loved one. Lift a book about the past of any significance and there (often unheralded) is the proof that without archives there simply would be nothing that could truly be called history.

The Northern Ireland Programme for Government and the Corporate Strategy of the Department of Culture, Arts and Leisure - PRONI's parent Department - provide the overall strategic framework for PRONI. Both recognise that, at the beginning of the 21st century, we live in an Information Age where we have access to unbelievable quantities of information at the touch of a television remote control or by surfing the Internet. It is also the Digital Age, the age of ever speedier communication through the exploitation of information and communications technology (ICT).

'Information in the Digital Age' sets out the particular challenge for PRONI in the next three years (and beyond): how the information safely stored in boxes can be made readily available to whoever wants access. Indeed, the challenge is even greater than that for it demands nothing less than persuading ever greater numbers of people that archives can be relevant to their lives, that they underpin our understanding of our history and identity and that access is not some fearsome challenge for the few but can be a pleasure for the many.

Vision divorced from the practical is condemned to be a hopeless dream. The Corporate and Business Plans are shot through with the vision for archives in Northern Ireland and the positive challenges that face PRONI in the modern age. They are also practical documents underpinned by the rolling programme of reviews of all key agency functions and flow straight from the thinking and the commitments in PRONI's Reform Plan (see Appendix 1). The plans set out clearly the business needs of an executive agency handling information, the resources available for the work to be undertaken and the risks that may be encountered when seeking to meet targets. The emphasis is on efficiency and effectiveness, on having in place the correct internal structures, on exploiting new technology to maximum effect and on securing new markets. At the end of the three years of the Corporate Plan (by April 2006) PRONI should be both the same as it is today and a very different institution. It will be the same in terms of its core responsibility for preserving

and processing the archival heritage. It will be very different in terms of the numbers and range of people accessing its information and how they access that information.

Gerry Slater

Deputy Keeper of the Records and
Chief Executive

Corporate Plan 2003 to 2006 and Business Plan 2003/04

This document is the combined Corporate Plan 2003 to 2006 and Business Plan 2003/04 for the Public Record Office of Northern Ireland. The Corporate Plan will normally be reviewed annually at the same time as the Business Plan for the next year is being prepared.

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Corporate Plan 2003 to 2006

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PRONI's Role

Under the Public Records Act (NI) 1923 PRONI (the Public Record Office of Northern Ireland) has statutory responsibility for the identification and preservation of records of historical, research and informational importance. The Minister for Culture, Arts and Leisure, by the Act, is Keeper of the Records and thus has overall responsibility for ensuring that PRONI carries out its statutory responsibilities.

PRONI provides an integrated archival service – ‘a one-stop shop’ - for both official and privately deposited records. Its roles are therefore equivalent to those carried out in England and Wales by the National Archives, the network of county record offices and the Manuscripts Department of the British Library.

The Agency's work covers all stages of the archival processing and care of records: from selecting and acquiring, through sorting, cataloguing, conserving and storing in environmentally-controlled conditions, to making them available to the public.

In relation to providing access to the records approximately 16,000 people per annum make on-site visits to PRONI to carry out research. Many come from abroad - especially America, Canada and Australia - to research family history. To facilitate this PRONI provides a range of on-site services which include finding-aids, reading-rooms, microfilm access, and photocopying facilities. It also has limited outreach and web site facilities.

As is appropriate in the information age PRONI advertises its services through its website which services over 19,000 host computers every month (over 75% of those hosts are located abroad).

Our vision

‘To lead best practice in archives’

To achieve PRONI's vision it will not be enough just to find ways to cope with the paper avalanche and catch up with

new technologies. We want to continuously improve our processes and performance. We want to get ahead of and even influence the technological curve. We want to build an organization that will actively deliver value, not just respond passively to whatever requests may come. We want to foster openness and trust among our staff and improve communication inside and outside the agency.

Our mission

'The Public Record Office of Northern Ireland exists to identify, preserve and make available Northern Ireland's archival heritage as a unique information resource for present and future generations.'

The Wider Picture

PRONI is an executive agency within the Department of Culture, Arts and Leisure and, as such, contributes to two key Programme for Government themes: 'Growing as a Community' and 'Investing in Education and Skills'. These commitments are strengthened by the Department's having responsibility for cultural and information resources across museums, libraries, archives and Ordnance Survey of Northern Ireland and by its encouragement of partnership across those domains, with other departments (DE and DEL), and, where relevant, within the context of North-South and East-West relationships. PRONI's contributions focus on improving the understanding of our culture, history and heritage and on the educational use of cultural and information resources as well as on harnessing the archival heritage in the understanding of cultural diversity.

Other key factors affecting our work over the period of this Corporate Plan include

- the need to embed New Targeting Social Needs into agency policies and practices
- the advent of Freedom of Information (in conjunction with existing Data Protection)
- the increased public expectation of greater openness and accountability
- the need to embrace and make effective use of new technology for the benefit of customers
- the re-positioning of PRONI in the light of the outcome of the Archives Policy for Northern Ireland (APNI) consultation and review exercise and the implementation of the new end-to-end reviews which replace the Quinquennial review process.

Governance and Strategic Framework

Organisation

PRONI is headed by a Chief Executive who is directly accountable to the Minister for the management of PRONI in accordance with the Framework Document, and for its performance against the objectives and targets set in the Corporate and Business Plans.

As part of the process of developing its Corporate Plan an internal review of the agency's processes, functional responsibilities and structure was undertaken to ensure that it is in the best possible position to achieve its key strategic goals. As a result of the review the agency was restructured in January 2003 into 8 functional areas each with a Section Head who, with the Chief Executive, form the Management Team. The Sections are as follows: RMA (Records Management and Administration); Acc (Access); ELO (Education, Learning and Outreach); PS (RS) Public Services (Reader Services)); PS (P) Public Services (Preservation)); CS (Corporate Services); FPM (Funding and Project Management) and IS (Information Systems).

Statement of Accountability

The policy framework within which PRONI operates as a Government Department is determined by the Department of Culture, Arts and Leisure under the Public Records Acts 1923 and amending legislation. The operational management of PRONI as an Executive Agency since 1995 has been delegated to a Chief Executive who also combines these responsibilities with his role as Deputy Keeper of Public Records under a Framework Document. Additionally the Chief Executive is appointed by the Department of Finance and Personnel as an additional Accounting Officer for the Vote and Accounts of PRONI.

Projected Expenditure Levels

PRONI's approved budget for 2003/04 and indicative budgets for the following two years are as follows -

	2003/04	2004/05	2005/06
	£m	£m	£m
Administration	3.075	3.267	3.387
Other resources	0.033	0.033	0.033
Cost of Capital	0.290	0.290	0.290
Depreciation	0.370	0.370	0.370
Income	(0.018)	(0.018)	(0.018)
Net Resource Budget	3.750	3.942	4.062
Capital	0	0	0
EPF (eCATNI) admin	0.242		
EPF (eCATNI) capital	15		
Staff numbers	100.5	100.5	100.5

The projected expenditure levels set out in the table above have been allocated to functional activities as set out in the Business Plan. In order to implement government policy, to complete our work programmes and to achieve value for money in doing so, we intend to:

- improve efficiency across PRONI
- establish a durable framework for the management of risk at all levels
- implement reforms aimed at making more effective use of new technology to -
 - provide easier and wider customer access to PRONI's information resources on-site and off-site
 - assist PRONI's NICS and wider public sector customers to prepare for the introduction of Freedom of Information legislation by developing and implementing best practice records management standards so that the most important information (including that in electronic form) is selected and preserved for as long as it is needed
- seek additional funding opportunities
- investigate the potential to raise additional revenue by charging for value added products and services
- devise and implement a marketing strategy which is

driven by customer need and addresses issues of social inclusion and diversity

Improving Efficiency

PRONI has recently completed a rolling programme to review all its key functions. Action will be taken to implement recommendations from the last two reviews - Conservation and Preservation. PRONI will continue to make appropriate use of existing and emerging methodologies and tools in order to enhance the quality of its services. In line with DCALS's policy it will use the EFQM Excellence Model as a means of identifying and targeting areas for improving and the balanced scorecard as a means of prioritising actions and measuring progress. PRONI will also seek to learn from others by continuing its benchmarking activities.

Through its Reform Plan and Efficiency Plan PRONI will seek to improve value for money over the period primarily by making effective use of new technology as a means of extending access to the records no matter where they are or where the users are.

As part of the Northern Ireland Civil Service drive to prepare for the introduction of Freedom of Information legislation by improving records management practices and introducing electronic records management systems, PRONI will review its current information retrieval systems and develop its own Electronic Document Records Management system. This will serve as a 'best practice' example for other Government bodies as they also strive to meet 2004/05 targets.

Risk Management

PRONI's Management Team has a Corporate Risk Register to help it take major strategic decisions in an informed way. Major risks are quantified by specific risk indicators, are owned by a senior manager, and are linked to high-level business plan targets. All major projects have a risk register as a matter of course.

Risk registers are an indispensable prerequisite for the establishment of a full system of internal control. All PRONI Heads of Section will submit quarterly reports to the Chief Executive on risks and internal controls and will report to him monthly on progress against targets as set out in the Business Plan and on their stewardship of the resources allocated to them. There is also an ongoing programme of audit reports facilitated by the Department of Education's Internal Audit Branch.

Changes, Challenges and Opportunities

Archives Policy for Northern Ireland

The Archives Policy for Northern Ireland (APNI) is a consultative exercise intended to raise key issues in relation to archival services provision in Northern Ireland. It will result in a blueprint that will inform PRONI's whole future direction and development. The task is challenging in that it will be seeking to contribute to a greater understanding of our culture, history and heritage by ensuring that a vital asset – the archival heritage - is managed in a way that is relevant to present and future generations and accessible to the widest possible audience. Reflecting the interest in family history ('roots') the exercise will embrace this important area of research and contribute to DCAL's key task of carrying out a feasibility study into the provision of a quality genealogy service.

The first stage of the process - a facilitated discussion involving all key stakeholder groups - was held in October 2002. This identified a range of issues to be further considered and refined in on-going consultation with working groups. The end product will be an Action Plan setting out and costing change implementation and advising on the need for new public records legislation.

ensuring that a vital asset – the archival heritage - is managed in a way that is relevant to present and future generations and accessible to the widest possible audience

The plan will be presented for Ministerial approval during 2003/04 and, in addition to addressing the needs of stakeholders (e.g., Departments) it is likely to support the DCAL Learning Strategy, the Freedom of Information Act and records management (including electronic records).

Strategic Goals and Objectives

To address these changes, challenges and opportunities PRONI has set the following strategic goals and objectives

Strategic Goals	Strategic Objectives
1 Determining the future strategic direction of PRONI and archival services provision in Northern Ireland by completing the APNI process	1.1 To determine the relationships between PRONI and principal creating bodies 1.2 To define PRONI's future role 1.3 To determine the need for new legislation

Freedom of Information, Records Management and Electronic Records Management

FOI (Freedom of Information) is a government-wide issue. From January 2005, the public will have a general right of access to government information. Northern Ireland Departments and the wider Public Sector can meet the requirements of the Act only if there is a culture change that recognises the importance of information as a corporate asset. Best practice records management standards are being developed – for example, the Northern

Ireland Records Management Standard (NIRMS) - and the Code of Practice on the Management of Records under Section 46 of the Freedom of Information Act 2000 provides an important framework for standard-setting and action. In practical terms, this means that all Departments, Non-Departmental Public Bodies, local authorities and the Courts will have to undertake a comprehensive records inventory and put in place effective and efficient records management systems, including disposal schedules (these provide the legal mechanism for the preservation or destruction of records).

FOI will impact enormously on PRONI itself. As the NICS centre of expertise in records management, the agency will ensure that it meets the demanding standards of records

all Departments, Non-Departmental Public Bodies, local authorities and the Courts will have to undertake a comprehensive records inventory and put in place effective and efficient records management systems, including disposal schedules

management that are essential for full compliance with FOI – particularly important where enquiries can be made about any information held in the 53 km of records. In order to cope with that task, it will develop electronic records management systems for internal use and pursue eCATNI, the data capture of its archival descriptive lists so that they will be available on-line. These will both meet FOI needs and, in the case of the latter – because of the uniqueness of PRONI’s most important holdings – will make a significant contribution to a cross-domain Learning Strategy. It is PRONI’s intention that eCATNI should establish links with related initiatives in England, Wales and Scotland.

PRONI’s records management expertise is already in demand and the Agency will make every effort to advise, guide and otherwise assist Departments in the preparations for 2005. That commitment will inevitably be resource intensive. In recognition of this additional staff and resources have been diverted to records management tasks and to providing the help and guidance which departments and the wider public sector will need.

Electronically created information is being generated within government in ever greater quantities. There are important issues to be addressed on the creation, retrieval and selective long-term preservation of information in electronic format

Long-established and essential work will continue within the agency in terms of ensuring that records of historical value are selected and acquired. Both official and private records will be appraised, and those worthy of permanent preservation will be listed and indexed in accordance with accepted archival principles.

Electronically created information is being generated within government in ever greater quantities. There are important issues to be addressed on the creation, retrieval and selective long-term preservation of information in electronic format. Therefore, electronic records management will be a major issue for all parts of government, and one where PRONI’s records management expertise again comes into play.

PRONI is working with OFMDFM and the NICS Departments on the corporate NICS Electronic Document and Records Management System Infrastructure (EDRM SI) project. This project aims to develop a corporate approach to the procurement and implementation of EDRM systems across the NICS, establish standards for EDRM products and develop XML Schemas to enable integration of different products supporting a common approach. A Gateway review of the project concluded that the NICS needs to bring the overall management and control of the implementation of new records management, business change, information management policy, e-government and the procurement of products and services under the remit of an overarching programme. PRONI will continue to play a central role in shaping the future of EDRM within the public sector. As one of the lead implementers within the corporate project, PRONI aims to implement its own EDRM solution, thus becoming an exemplar for other public sector organisations.

Strategic Goals and Objectives

To address these changes, challenges and opportunities PRONI has set the following strategic goals and objectives

Strategic Goals	Strategic Objectives
<p>2 Overseeing the management of records in government and the wider public sector to support its business</p> <p>3 Seeking to contribute to information policy by providing support to public authorities on the public records aspects of the Data Protection Act 1998, Environment Information Regulations and the Freedom of Information Act 2000 through guidance on access and sensitivity reviewing.</p>	<p>2.1 To provide effective leadership to the public sector in the development and adoption of best practice Records Management (including Electronic Document and Records Management (EDRM)) standards in order to support government business, to ensure that records of enduring value are selected and acquired and to support wider public access under Data Protection and Freedom of Information</p> <p>2.2 To assist all Northern Ireland Civil Service Departments in the compilation of disposal schedules by January 2005</p> <p>2.3 To strengthen the role of the Information Managers' Forum, which is composed of representatives from the Northern Ireland Departments, the Northern Ireland Court Service, local authorities and other Non-Departmental Public Bodies</p>
<p>4 Selecting, acquiring, listing and indexing public and private records of enduring historical or other research value for public access</p>	<p>4.1 To identify listing priorities in the light of Freedom of Information and access needs, and list in accordance with these priorities</p>
<p>5 Meeting FOI requirements in the internal operations of the agency.</p>	<p>5.1 To implement the electronic catalogue for Northern Ireland (eCATNI) project and so facilitate access to records in accordance with Freedom of Information standards.</p> <p>5.2 To develop and implement an electronic document records management system throughout PRONI</p>

Main Risks to be managed

- *Failure to provide best practice records management guidance to public authorities resulting in loss of key records*
- *Recruitment, training and retention of sufficient curatorial staff*
- *Public authorities fail to allocate sufficient resources to records management and other FOI related tasks*
- *Inadequate resources to pursue proactive private records strategy resulting in loss of records*
- *Lack of adequate funding and skills to complete eCATNI project*
- *Failure to engage staff and customers in culture change to secure successful take-up of eCATNI*
- *Size and scale of eCATNI project (e.g. volume of data to be captured)*
- *Defective existing lists and delay in Location Index project both of which will impact on eCATNI*
- *Fragmentation of the archival heritage resulting in increased difficulty in accessing information*
- *Failure to implement ERM within PRONI in line with NICS SI project*

Wider use and easier access

PRONI's records should be more widely used. They are the community memory in writing, and are key information and educational resources. Access to that memory is important both to society as a whole and to individuals: from the pursuit of a personal enthusiasm to the fulfilling of a business need.

To promote wider use we must

They are the community memory in writing, and are key information and educational resources

- publicise the richness of the archival heritage through the PRONI website and outreach centres and by means of talks, events, conferences, workshops, exhibitions, publications and leaflets, including educational resources.
- contribute to the DCAL Learning Strategy which provides an opportunity to adopt a cross-domain approach that exploits to the full the

complementary strengths and sources within PRONI, libraries, museums and OSNI with the potential to extend beyond those partnerships.

- identify the needs of schools and community groups taking full account of New Targeting Social Need objectives and work with these sectors to provide appropriate learning materials, including educational content on our website.
- change the customer profile to include more of those currently under-represented.
- establish formal contacts with the University of Ulster, including the Academy of Irish Cultural Heritages, and The Queen's University of Belfast, to develop awareness programmes that encourage greater use of archives in academic research and teaching.

Public expectation is that there will be speedy access to all information contained in what is literally millions of documents and that more manuscript material will be

the agency will harness the range of tools offered by modern technology and integrate them with existing and proven methods

available in a digital format. To come anywhere near meeting these expectations for both on-site and off-site users the agency will harness the range of tools offered by modern technology and integrate them with existing and proven methods. For example while digital imaging is very effective in meeting immediate access needs, it is not, unfortunately, a stable long-term medium. Therefore, PRONI will have to employ a dual strategy when meeting digital expectations: microfilming to secure a stable and re-usable product; and then imaging from microfilm.

To promote easier off-site access we must

- develop and enhance the PRONI website to provide user-friendly help and advice to all our customers
- digitise and microfilm records in line with a prioritised and managed programme which will take account of the records in greatest demand as well as those of greatest importance in heritage terms
- develop on-line resources for adult learners and schools

- develop a portal to allow on-line searching across the range of PRONI's electronic genealogical resources e.g. the Ulster Covenant, Freeholders' Records (when available) etc.
- contribute to the DCAL key task of examining how a quality genealogy service can be secured. (This study could have a major impact on how PRONI delivers services to the public.)

PRONI provides a range of **on-site services** which enable customers to consult source and original archival material stored in its repositories. We deliver the records held in our repositories for consultation by users, staff, originating bodies and depositors. We make copies of records in different formats for users to buy and for use in the Reading Rooms in order to facilitate access and to preserve the originals. In addition, expert advice is provided to users on selecting records for consultation and interpreting them, and on other information sources. We have staffed reading and reference rooms and a research library for visitors and, for remote users letter, telephone, e-mail and fax advice services. We produce topic and geographic based information sources for all users.

The twenty first century necessitates a dynamic approach from PRONI with regard to the modernisation and streamlining of its onsite services. To improve, extend and market PRONI's products to onsite customers in ways which promote PRONI's unique information resource we must

- consult our onsite users regularly (through the PRONI Forum and by means of regular and ad hoc customer surveys) and introduce new services where there is a significant demand and where resources allow (in accordance with our customer focus strategy). This will include
 - developing our service for the significant number of users who will wish to continue consulting records in conventional formats such as the original documents or self-service microfilm. The latter format has provided a more streamlined and cost effective service and has developed in recent years since the number of visitors to PRONI

- posed risks to the preservation of original records and the capacity of our delivery systems.
- designing and arranging our public areas to facilitate the rapid development of electronic search aids including the vast range of PRONI's descriptive lists currently being electronically captured (eCATNI project) and digitised material.
- sustain our high user satisfaction ratings
- continue to participate in national surveys of archive users, so that we can benchmark our onsite services against cognate services
- apply for Charter Mark accreditation and seek to maintain it thereby displaying our determination to consolidate and develop our high standards of public service

Strategic Goals and Objectives

To address these changes, challenges and opportunities PRONI has set the following strategic goals and objectives

Strategic Goals	Strategic objectives
6 Promoting the value and use of PRONI's archives as a unique information and educational resource	6.1 To improve, extend and market PRONI's products and services to off-site customers in ways which <ul style="list-style-type: none"> – address social inclusion and cultural diversity – contribute to the National Grid for Learning, Lifelong Learning and DCAL's Unlocking Creativity and Learning Strategy

designing and arranging our public areas to facilitate the rapid development of electronic search aids

Strategic Goals	Strategic objectives
7 Introducing value added products which improve on and offsite access to the records (easier access)	<p>7.1 To implement the electronic catalogue for Northern Ireland (eCATNI) project</p> <p>7.2 To support cultural tourism by contributing to the development and provision of a Quality Genealogy Service (Roots)</p> <p>7.3 To meet the Government's 2005 Electronic Service delivery target especially by offering customers access to digital images and indexed databases of selected records</p> <p>7.4 To identify partners and maximise external funding opportunities so that strategically important projects can be undertaken</p> <p>7.5 To achieve and maintain CharterMark accreditation</p>

Main risks to be managed

- *Lack of resources to deliver statutory services could result in decrease of activity in the non-statutory area of Education, Learning and Outreach*
- *Failure to produce APNI report on time which will impact on the delivery of a DCAL objective and PfG action*
- *Failure to engage with new audiences, under-utilisation of PRONI's resources and negative impact on PRONI if it fails to contribute to the Learning Strategy set out in the PfG*
- *Possible lack of funding and partners impacting negatively on the contribution to a quality genealogy service*
- *Lack of customer focused digitisation programme*

- *Failure to secure funding and, where appropriate suitable partners for digitisation and microfilming programme*
- *Lack of EPF funding beyond 2003/04 to complete the eCATNI project*
- *Failure of IS network infrastructure*

Preservation of records

PRONI provides for or oversees the security and physical care of records in a variety of media from their creation to their permanent preservation and use in the Record Office. We apply a range of techniques to preserve those that are damaged and develop standards for the careful handling of records and train and monitor staff and users in meeting them. Preservation standards in places of deposit are agreed and monitored. We also promote the copying of records in order to minimise wear and tear on the originals.

In our current premises we are unable to fully match BS environmental standards for the preservation and storage of archive material. Within these constraints we will, however, aim to maintain the optimum storage conditions. In line with the desire to improve access to the records we will also seek to provide a Preservation service which facilitates optimum access. This will be effected by an ongoing programme of conservation work on selected original documents (including elimination of all physical harmful agents, file re-covering, re-enveloping, security numbering, etc) and systematic preservation microfilming of major archives. In addition, we will continue the exercise of upgrading records presently stored on mobile shelving or in plan cases at our Balmoral Avenue site. There will also be regular monitoring of storage conditions by Preservation staff.

We shall participate in cross-domain activity by contributing to the establishment of best practice processes which ensure that records held in museums, libraries and PRONI are preserved in an appropriate environment. This outward looking approach to the preservation of records will further be developed by publicising PRONI's preservation policies and practices through educational workshops, open days, lectures, group visits and participation in preservation-related projects with other institutions.

Fully aware of the preservation implications of the wide-scale creation of computerised and electronic data in the twenty first century, PRONI will contribute to the development of a national digital preservation policy and make progress to digitise selected records in accordance with an agreed strategy and programme. Similarly, it will participate in the development of a standard and means of preserving and storing electronic records.

Strategic Goals and Objectives

To address these changes, challenges and opportunities PRONI has set the following strategic goals and objectives

Strategic Goal	Strategic Objectives
<p>8 The permanent preservation of an authentic record which future generations can have access to and can consult.</p>	<p>8.1 To maintain optimum storage conditions within the constraints of the present accommodation</p> <p>8.2 To contribute to the establishment of best practice processes which ensure that records held in museums, libraries and PRONI are preserved</p> <p>8.3 To provide a Preservation service which facilitates optimum access</p> <p>8.4 To participate at local and national levels in the development of a standard and means of preserving and storing electronic records</p>

Fully aware of the preservation implications of the wide-scale creation of computerised and electronic data in the twenty first century, PRONI will contribute to the development of a national digital preservation policy

Main Risks to be managed

- *failure to preserve records to appropriate standards*
- *failure to develop a digital preservation strategy (resulting in loss of electronic records)*
- *major incident due to defective premises and/or equipment or failure of security systems*

Leadership and staff management

Within PRONI talented and dedicated people are working hard to meet the goals and objectives set out in our Corporate and Business Plans. The working environment is, however, ever evolving with technological innovations in particular providing challenges and opportunities to improve service delivery to our customers.

PRONI's goal therefore is to create a highly effective, motivated and flexible workforce. To do this we will aim to recruit and retain high calibre who have the skills and competencies to match our future business needs and with experience to deal with records in the electronic information age. We will also encourage current staff to add the skills necessary for working with new technologies and develop their full potential so that they can make the best possible contribution to the achievement of PRONI's strategic goals. We will manage all staff in a fair and caring way and will continue to build an organizational culture that values

The working environment is, however, ever evolving with technological innovations in particular providing challenges and opportunities to improve service delivery to our customers.

- **Customers and Stakeholders** by listening to them and seeking to provide services which meet their needs
- **PRONI colleagues** by respecting them and drawing on their professionalism, technical competence, diverse skills and experience
- **PRONI as an organisation** by contributing individually and as a team towards the achievement of our objectives and being open to change, trying new ways and learning from mistakes.

Strategic Goals and Objectives

To address these changes, challenges and opportunities PRONI has set the following strategic goals and objectives

Strategic Goal	Strategic Objectives
<p>9 Expanding continuously PRONI's capabilities for making the changes necessary to achieve its overall strategic goals.</p>	<p>9.1 develop and implement a human resources strategy in conjunction with DCAL.</p> <p>9.2 establish training and career development programmes to meet changing business needs - in particular we will complete and implement a fundamental review of pay, progression and career development for curatorial staff with the objective of ensuring that they have the opportunity of a meaningful and worthwhile career in PRONI</p> <p>9.3 make full and effective use of DCAL's new performance management system and process to assign clear individual responsibilities linked to the achievement of overall goals and objectives</p> <p>9.4 work with Local Trade Union Side to assist staff in making transitions if their jobs are affected by the implementation of our plans</p> <p>9.5 encourage staff to adopt good work-life balance practices by providing (in conjunction with the NICS) a range of flexible working arrangements</p> <p>9.6 implement the IS/IT strategy as a key enabler of the CorCorporate, Business and Reform Plans</p>

Main Risks to be managed

- *ineffective manpower planning*
- *non compliance with relevant employment and equality legislation*

Accommodation

PRONI's case for new accommodation, which meets acceptable standards for the preservation of archives and provides suitable and safe facilities for customers and staff, has been recognised by DCAL as a top priority. The long-term objective is to solve the accommodation problems by planning for increased specialised storage and enhanced

public areas so as to improve access and accessibility. In partnership with DCAL various accommodation options will be considered, including new build, merger with another organisation, alternative locations, storage of records on one or more sites, and financing the project by PFI/PPP.

PRONI's case for new accommodation, which meets acceptable standards for the preservation of archives and provides suitable and safe facilities for customers and staff, has been recognised by DCAL as a top priority

The provision of new accommodation is a long-term project which could require 5 years or more to come to fruition. In the meantime we must, within the constraints of our present premises and in compliance with statutory requirements, seek to create and maintain a safe and secure environment for the records which we hold, for staff and for on-site customers.

Strategic Goals and Objectives

To address these changes, challenges and opportunities PRONI has set the following strategic goals and objectives

Strategic goal	Strategic objectives
10 To put in place firm plans and proposals for new accommodation for PRONI.	10.1 To plan for long-term accommodation needs. 10.2 In the short to medium term to maintain a safe and secure environment for the records, staff and visitors in compliance with statutory requirements

Main Risks to be managed

- *failure to produce outline business case*
- *lack of funding for expert consultancy*
- *failure to produce comprehensive specification to meet BS 5454 (2000)*
- *major incident due to defective premises and/or equipment; failure of security systems or failure to comply with Health and Safety standards and legislation*

The financial environment

PRONI is committed to providing wider public access to the information which it holds. It will do this by making increasing use of new technology, by digitising important records and by making more information available on-line. This will require a higher level of investment in new

technology, machinery and equipment together with a structured and planned approach to the purchase and replacement of capital assets.

By raising additional revenue from value added products and services we could reduce the amount of direct funding required from the public purse. As we make more information available on-line the opportunity to raise additional revenue becomes a reality. We will investigate this potential. We will also seek to work with partners to attract additional (external) funding for joint projects.

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Strategic Goals and Objectives

To address these changes, challenges and opportunities PRONI has set the following strategic goals and objectives

Strategic Goal	Strategic Objectives
11 Maximise the use of resources in order to achieve Reform Plan and other operational imperatives by managing them effectively, demonstrating value for money and improving efficiency where possible.	11.1 To effectively manage PRONI's financial resources demonstrating value for money 11.2 to secure the additional funding necessary to complete the eCATNI project 11.3 to fully explore the opportunities to reduce dependence on public funds by increasing income for value added services and products and attracting additional (external) funding for specific projects

Main Risks to be managed

- *inability to attract sufficient financial resources to fulfill the objectives set out in the Corporate Plan*
- *non compliance with GANI, NIRAM and other financial, audit and accounting standards*

Outcomes: Successes for the Customer

The Corporate Plan is driven by the desire for success across the whole range of the agency's activities, while focusing on areas where there is particular challenge and opportunity. Challenges and opportunities provide the catalysts that will mould a customer focused archival service for the 21st century. Achievement of the goals and objectives in this Corporate Plan will be a major step towards PRONI's realising our vision and mission. In particular it will deliver improvements for our customers.

In relation to the development and introduction of electronic management systems and improved records management:

- Best practice records and electronic records management systems will be adopted and used consistently throughout the public sector to help ensure
 - that NICS and wider public sector business need for information is fully met
 - that information of historical and other research value is selected and preserved for as long as it is needed and non-essential records are disposed of at the most appropriate time
 - public sector compliance with Open Government and Freedom of Information standards

In relation to providing easier access to the records:

- PRONI's descriptive lists, the Ulster Covenant, the Freeholders' registers, will books, 1911 census, Cabinet Conclusions and other important genealogical sources will be digitised and/or microfilmed and made available to customers in ways most convenient for them to use (on-line/on-site)
- A quality genealogy service which meets customers needs (and links PRONI's information resources with those of other key institutions) will be developed and in place

In relation to promoting wider use of the records as an education and learning resource for all:

- New markets for PRONI's information will be penetrated with efforts focused on addressing social exclusion and diversity
- wider use will be made of PRONI's information resources particularly in education and learning.

Information in the Digital Age

Public Record Office of
Northern Ireland

Business Plan 2003/04

April 2003

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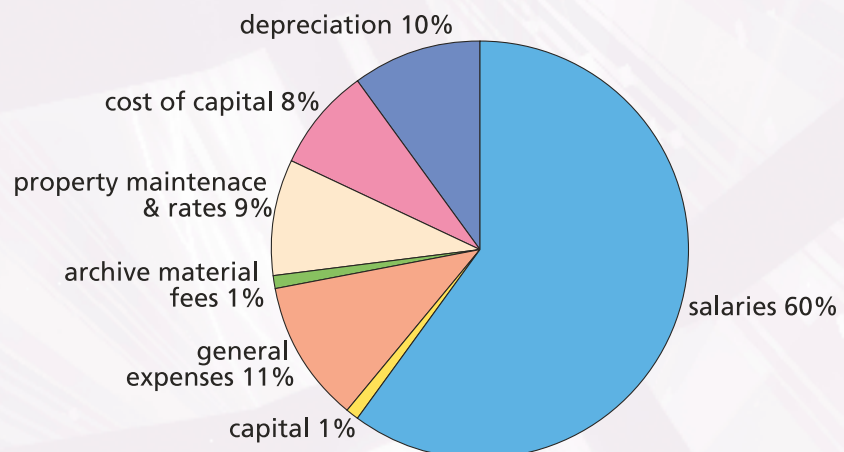
Introduction

PRONI's Corporate Plan for 2003 to 2006 details the main factors which are likely to affect and influence our work over the forthcoming 3 year period and sets out our key strategic goals and objectives and how we plan to achieve success. The 2003/04 Business Plan details the steps which we intend to take during this year towards achieving these goals and objectives, and sets out the Key Performance Indicators by which we will measure progress.

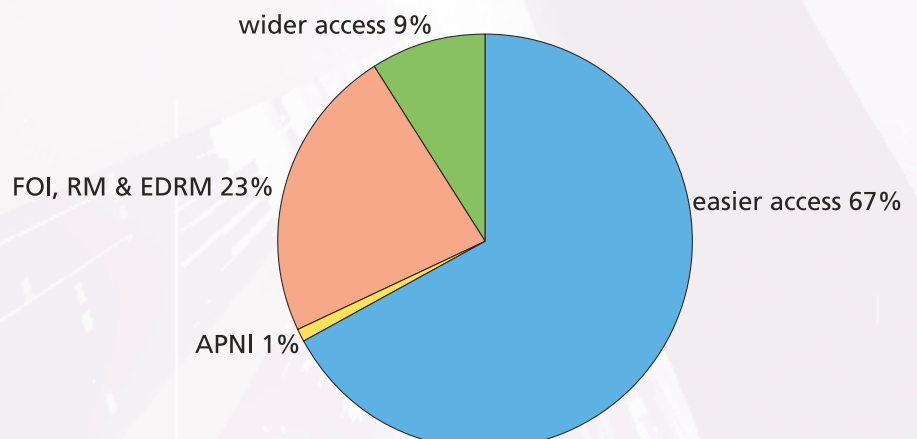
2003/04 Resources

Financial resources

PRONI's gross resource budget for 2003/04, excluding the eCATNI project, is £3.75m. Here is how we plan to spend it.



Here is how the budget has been allocated by priority area with the cost of support services apportioned across these areas.



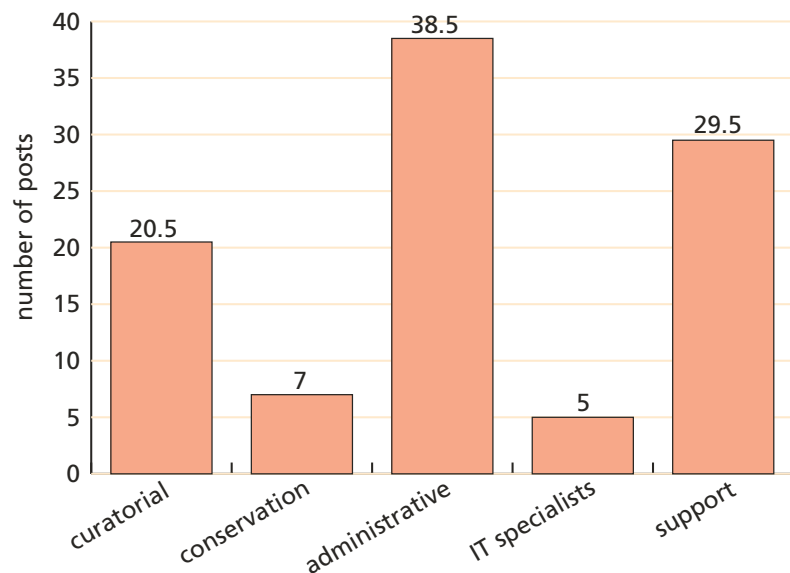
Staff resources

PRONI has an approved staffing complement of 100.5 posts. At the beginning of the financial year 77 staff were in post, however, we intend by the end of the year, to have all posts filled.

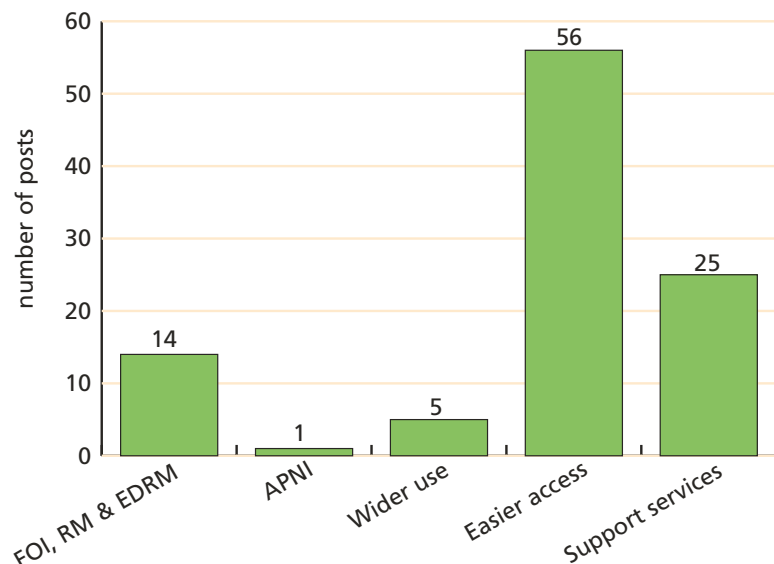
All staff are located at PRONI's headquarters at 66 Balmoral Avenue, Belfast BT9 6NY.

The work of the Agency requires a multi-disciplinary approach and the Chief Executive is supported by curatorial, conservation, technical (including IT) administrative and support staff.

Approved posts by Discipline



Approved posts by priority area



Key assumptions for 2003/04

Workload

Much of the workload undertaken by PRONI is demanded and involves outside bodies and individuals over which it has no control. Though the future workload may be volatile the agency has made the following forecasts, based on previous workloads, for its services during 2003/04 –

- At least 500 units¹ of records will be listed and indexed
- At least 3,000 archive units², assessed overall as of medium technical difficulty, will receive remedial conservation treatment
- At least 500 linear metres of plan case records will be upgraded
- 25 linear metres of official records will be sensitivity reviewed (including those for which the Northern Ireland Court Service has functional responsibility), as well as the on-going release of identified blocks of records at earlier than 30 years
- 15,000 on-site reader visits will be made for research purposes (see appendix 2 for trend analysis)
- 4260 letters (including e-mails and requests for wills) will be dealt with (see appendix 2 for trend analysis)
- 48,500 customer orders requesting access to records will be processed (see appendix 2 for trend analysis)

Resources

- The agency will continue to be funded by Vote and the budget will be c £3.750m.
- The business case and bid for additional funds for eCATNI and the bid for the creation of a Capital Baseline will be successful
- The number of approved posts will not be less than 100.5
- All vacant posts will be filled by the end of the year and vacancy levels and sick absence levels will each not exceed an average of 10% over the year

¹ Units of measurement take account of levels of difficulty in listing

² Units of measurement take account of levels of difficulty in remedial conservation treatment

Strategic goals, objectives, key and other performance indicators and associated initiatives and actions

The following pages detail the PRONI business plan for 2003/04 in terms of what progress we intend to make towards the achievement of each of the Strategic Goals (11) and Strategic Objectives (30) detailed in the Corporate Plan, how we will measure progress, and key and other performance indicators.

The Strategic Goals are grouped under their related Changes, Challenges and Opportunities outlined in the Corporate Plan.

The key performance indicators will be subject to independent validation by Internal Audit as part of the assurance programme provided for the Chief Executive.

Archives Policy of Northern Ireland

Strategic Goal 1

Determining the future strategic direction of PRONI and archival services provision in Northern Ireland by completing the APNI process

Strategic Objectives	How performance will be measured	Key and other performance indicators	Actions and Initiatives
<p>1.1 To determine the relationships between PRONI and principal creating bodies</p> <p>1.2 To define PRONI's future role</p> <p>1.3 To determine the need for new legislation</p>	Extent of agreement on APNI	<p>End April 2003</p> <p>September 2003</p> <p>November 2003</p> <p>February 2004</p>	<p>Submission of APNI Steering Group report to DCAL (ELO)</p> <p>Advise DCAL of relevance and impact of Re: source Archives Task Force initial findings (ELO)</p> <p>DCAL publishes consultative document after taking further views</p> <p>DCAL publishes Action Plan after EQIA and Rural Proofing</p>

Freedom of Information, Records Management and Electronic Records Management

Strategic Goals 2 and 3

Overseeing the management of records in government and the wider public sector to support its business

Seeking to contribute to information policy by providing support to public authorities on the public records aspects of the Data Protection Act 1998, Environment Information Regulations and the Freedom of Information Act 2000 through guidance on access and sensitivity reviewing.

Strategic Objectives	How performance will be measured	Key and other performance indicators	Actions and Initiatives
<p>2.1 To provide effective leadership to the public sector in the development and adoption of best practice Records Management (including Electronic Document and Records Management (EDRM)) standards in order to support government business, to ensure that records of enduring value are selected and acquired and to support wider public access under Data Protection, Environment Information and Freedom of Information</p>	<p>Quality and timeliness of output/advice/standards etc. to be measured by customer feedback (including formal feedback from conference attendees, Departments etc. and ad hoc feedback)</p>	<p>Guidance issued by June 2003</p> <p>Training package developed by July 2003</p> <p>Conference held by July 2003</p> <p>90% of replies issued within 10 working days</p> <p>94% within 14 working days</p> <p>ERM guidance updated by March 2004</p> <p>Selected official records released on the first working day of the New Year.</p> <p>Guidance issued by June 2003</p>	<p>To issue written guidance on Information Audits (<i>RMA</i>)</p> <p>To develop a records management (filing practices/system) training package (<i>RMA</i>)</p> <p>To organise and host a public sector Records Management conference (including the theme of Electronic Document and Records Management (EDRM)) and contribute to externally organised events (<i>RMA and IS</i>)</p> <p>To answer correspondence from Departments and the wider public sector (<i>RMA</i>)</p> <p>To review and update ERM guidance within the published NI Records Management Standard (<i>IS</i>)</p> <p>To complete the Annual Sensitivity Review in conjunction with Departments (<i>Acc</i>)</p>
<p>2.2 To assist all Northern Ireland Civil Service Departments in the compilation of disposal schedules by January 2005</p>			<p>To issue written guidance on Disposal Schedules (<i>RMA</i>)</p>
<p>2.3 To strengthen the role of the Information Managers' Forum</p>	<ul style="list-style-type: none"> Number and range of organisations represented at IMF meetings Customer feedback 	<p>Quarterly meetings held</p>	<p>To hold meetings of the Information Managers' Forum on a quarterly basis and encourage the widest possible attendance of representatives from the Northern Ireland Departments, the Northern Ireland Court Service, local authorities and other Non-Departmental Public Bodies (<i>RMA</i>)</p>

Strategic Goal 4

Selecting, acquiring, listing and indexing public and private records of enduring historical or other research value for public access

Strategic Objectives	How performance will be measured	Key and other performance indicators	Actions and Initiatives
4.1 To identify listing priorities in the light of Freedom of Information and access needs, and list in accordance with these priorities	Number of units listed	500 units (RMA 250 units) Access 250 units)	To continue to list and index records in accordance with FOI priorities (RMA and Acc)

Strategic Goal 5

Meeting FOI requirements in the internal operations of the agency

Strategic Objectives	How performance will be measured	Key and other performance indicators	Actions and Initiatives
5.1 To implement the electronic catalogue for Northern Ireland (eCATNI) project and so facilitate access to records in accordance with Freedom of Information standards (<i>see also Goal 11 in relation to securing funding to complete the project</i>).	Actual progress against DFP approved Business Case	By end June 2003 To be determined when business case approved	To secure DFP approval for Business case (eCATNI) To complete installation and acceptance testing of archive management software, and train relevant staff in the use of the new system (eCATNI and IS) To procure and implement eCATNI hardware in line with the project timescales. (IS) To complete OJEC procurement of a data capture supplier and commence data capture to a standard compatible with ISAD(G) (eCATNI and IS) To validate and load 'T' lists into eCATNI database (eCATNI) To complete location index review and commence validation of location data (PS (P))
5.2 To develop and implement an electronic records management system throughout PRONI	Actual progress against Project Plan	ERM introduced throughout PRONI by April 2004	To establish the PRONI ERM project, assemble the project team, carry out the project, train staff and introduce ERM within PRONI (CS and IS)

Wider use and easier access

Strategic Goal 6

Promoting the value and use of PRONI's archives as a unique information and educational resource

Strategic Objectives	How performance will be measured	Key and other performance indicators	Actions and Initiatives
6.1 To improve, extend and market PRONI's products and services to off-site customers in ways which <ul style="list-style-type: none"> • address social inclusion and cultural diversity • contribute to the National Grid for Learning, Lifelong Learning and DCAL's Unlocking Creativity and Learning Strategy 	<ul style="list-style-type: none"> • Range and number of new markets penetrated • Number of new partnerships established • Number of new products developed • Extent to which e-products are used 	Delivery of at least 30 talks, lectures and events (ELO)	To extend awareness and encourage the use of PRONI's archives by delivering talks, lectures and events. (ELO)
		By October 2003	In the light of a consultant's report 'PRONI Marketing Strategy 2003 - 06 to develop an outreach policy and action plan (including the development of partnerships) that targets new audiences (ELO)
		By September 2003	To develop a learning resource in partnership with 2 schools
		by December 2003	To test the learning resource with a representative range of schools
		31 March 2003	To promote and disseminate the product to all schools

Strategic Goal 7

Introducing value added products which improve on and offsite access to the records (easier access)

Strategic Objectives	How performance will be measured	Key and other performance indicators	Actions and Initiatives
7.1 To implement the electronic catalogue for Northern Ireland (eCATNI) project	See above under Goal 5	See above under Goal 5	See above under Goal 5
7.2 To support cultural tourism by contributing to the development and provision of a Quality Genealogy Service (Roots)	Extent to which customers use the service as measured by web traffic	As determined by DCAL Business case and planning completed by March 2004	To contribute to a key DCAL task of carrying out a scoping study on the provision of a Quality Genealogy Service (ELO) To develop a business case and undertake detailed planning including seeking partners and funding (ELO)

<p>7.3 To meet the Government's 2005 Electronic Service delivery target especially by offering customers access to digital images and indexed databases of selected records . <i>(see also Goal 11 in relation to investigating potential to raise and retain additional revenue and developing a charging policy)</i></p>	<p>Number of new databases available on-line</p>	<p>Available on-line by September 2003</p>	<p>Digitisation of the pre-1840 Freeholders' Records. (FPM)</p>
			<p>Digitisation of Will Books (FPM)</p>
<p>7.4 To identify partners and maximise external funding opportunities so that strategically important projects can be undertaken. <i>(see also Goal 11 in relation to investigating potential to raise and retain additional revenue and developing a charging policy)</i></p>	<p>Completion of project on time</p> <ul style="list-style-type: none"> Number of partnerships developed Amount of external funding attracted 	<p>March 2004</p>	<p>To carry out a technical and economic evaluation for the digitising of the 2nd General Revaluation revision books (Val 12B) (FPM)</p>
		<p>September 2003</p>	<p>To design and build a new Web presence for PRONI which provides customers with quick, easy and straightforward access to information (ELO)</p>
<p>7.5 To achieve and maintain CharterMark accreditation and high standards of service delivery to customers</p>	<p>Achievement of CharterMark accreditation</p>	<p>June 2003</p>	<p>To identify potential digitisation projects in consultation with customers and produce a prioritised programme (FPM)</p>
		<p>From December 2003 onwards</p>	<p>To identify potential partners and funding sources and prepare business cases and bids (FPM)</p>
<p>Hours open in excess of standard hours</p> <p>Customer surveys</p> <p>Quality and timeliness of response</p> <p>Speed of delivery</p>	<p>Accreditation achieved by March 2004</p>	<p>Accreditation achieved by March 2004</p>	<p>To evaluate customer services and make improvements (PS (RS) and Acc)</p>
		<p>To maintain the extra 4 hours opening per week beyond the standard 37.5 hours.</p>	<p>To maintain published service delivery standards in line with targets stated aside (PS (RS) and Acc)</p>
		<p>To achieve 98% customer satisfaction from on-site customers</p>	
		<p>To answer 90% of correspondence within 10 working days of receipt and 94% within 14 working days.</p>	
		<p>To deliver 93% of records requested by users for consultation in the reading rooms within 30 minutes</p>	

Preservation of records

Strategic Goal 8

The permanent preservation of an authentic record which future generations can have access to and can consult

Strategic Objectives	How performance will be measured	Key and other performance indicators	Actions and Initiatives
<p>8.1 To maintain optimum storage conditions within the constraints of the present accommodation</p> <p>8.2 To contribute to the establishment of best practice processes which ensure that records held in museums, libraries and PRONI are preserved</p>	<p>Linear metres upgraded</p> <p>Customer feedback</p>	<p>Upgrading of at least 500 linear metres of plan case records</p> <p>By December 2003</p> <p>As and when required</p>	<p>To complete remedial upgrading of plan case records stored at Balmoral Avenue so as to bring them up to defined standards of archival protection (PS (P))</p> <p>With DCAL support and in partnership with other institutions to organise an information-sharing workshop for Disaster Planning (PS (P))</p> <p>To provide assistance in the preparation of Disaster Plans for manuscript and printed material (PS (P))</p>
<p>8.3 To provide a Preservation Service which facilitates optimum access</p>	<p>Units treated and % from Grade 1 archives</p> <p>Linear metres upgraded</p> <p>Action plan in place</p> <p>Customer feedback</p>	<p>Treatment of at least 3,000 archive units</p> <p>At least 60% from Grade 1 archives</p> <p>Upgrading of at least 500 linear metres of plan case records</p> <p>September 2003</p> <p>June 2003</p> <p>June 2003</p>	<p>To complete remedial conservation treatment (assessed overall as of medium technical difficulty according to a revised standard formula), mainly from Grade 1 archives. (PS (P))</p> <p>To complete remedial upgrading of plan case records stored at Balmoral Avenue so as to bring them up to defined standards of archival protection (PS (P))</p> <p>To develop an action plan in the light of the Preservation Assessment Survey (PS (P))</p> <p>To develop an assessment procedure for advising customers on the non-availability of documents on preservation grounds (with the purpose of ensuring that the maximum number are made available (PS (P)))</p> <p>To provide guidance on procedures designed to limit physical damage to records currently in the custody of Departments, NDPBs etc. (PS (P))</p>
<p>8.4 To participate at local and national levels in the development of a standard and means of preserving and storing electronic records</p>	<p>Standard developed and used</p>	<p>Organise and host workshop by October 2003</p>	<p>As part of the process of preparing for the development of digital preservation strategies and standards to ensure the long-term preservation of digital material - to maintain membership of the Digital Preservation Coalition and host a digital preservation workshop (IS and PS (P))</p>

Leadership and staff management

Strategic Goal 9

Expanding continuously PRONI's capabilities for making the changes necessary to achieve its overall strategic goals.

Strategic Objectives	How performance will be measured	Key and other performance indicators	Actions and Initiatives
9.1 Develop and implement a human resources strategy in conjunction with DCAL	Actual implementation dates	Corporate HR strategy in place by May 2003 PRONI-specific HR strategy in place by January 2004 (if necessary)	To work in conjunction with Core and OSNI Personnel Units to develop a corporate strategy and have it endorsed by the Executive Team and accepted by TUS (CS) To consider the need for a PRONI-specific Strategy following endorsement and in the light of the outcome of the review of Curatorial pay, progression etc. (CS)
9.2 Establish training and career development programmes to meet changing business needs	The number of staff with Personal Performance Agreements and Personal Development Plans clearly linked to Corporate and Business Plans	<ul style="list-style-type: none"> Ministerial agreement received and plans published by 30 April 2003 100% of PPAs and PDPs linked to strategic outcomes by June 2003 Curatorial needs reassessed by November 2003 	<ul style="list-style-type: none"> Corporate Plan and Business Plan developed, agreed by Minister and available to staff (CS) Completion of annual performance appraisals process by line managers and staff - in particular agreement of PDPs (A//) To re-consider curatorial training and development needs following the review of pay, progression etc. (CS)
	<ul style="list-style-type: none"> Number of training days on average per staff member per year iiP accreditation 	<ul style="list-style-type: none"> Average of 5 days training provided per person per year Achievement of iiP accreditation by June 2003 	<ul style="list-style-type: none"> Development of a PRONI Training Plan from PDPs and delivery throughout the year (CS) To make the improvements recommended in the assessors report (January 2003) and re-apply (CS)
	Curatorial staff satisfaction levels	<ul style="list-style-type: none"> Management decisions on implementation made by December 2003 Implementation by April 2004 	To complete and implement a fundamental review of pay, progression and career development for curatorial staff (CS)
9.3 Make full and effective use of DCAL's new performance management system and process	% of reports and in-year reviews completed and agreed on time	<ul style="list-style-type: none"> Completion and agreement of all annual reviews by mid May 2003 Completion and agreement of all in-year reviews by 31 October 2003 	To assign clear individual responsibilities for 2003/04 linked to the achievement of overall goals and objectives (A//)

<p>9.4 Work with Local Trade Union Side to assist staff in making transitions if their jobs are affected by the implementation of plans</p>	<p>Extent of agreement on major corporate proposals and issues</p>	<p>4 scheduled meetings held per year plus ad hoc as necessary</p>	<p>To hold quarterly meetings and provide the facility for ad hoc meetings as and when required (CS)</p>
<p>9.5 Encourage staff to adopt good work-life balance practices</p>	<p>Average days lost through sick absence</p>	<p>To maintain sickness levels at or below the NICS average (6.4% @ December 2003)</p>	<p>To implement DCAL's policies and programmes on</p> <ul style="list-style-type: none"> • Managing Attendance - due May 2003 • Health & Safety – due June 2003 • Stress policy – due June 2003) • Employee Assistance – due September 2003 (A//)
	<p>Staff attitudes survey</p>	<ul style="list-style-type: none"> • Staff attitudes survey completed by December 2003 • At least 80% of staff to be satisfied or very satisfied 	<p>To carry out 2nd PRONI staff attitudes survey (CS)</p>
<p>9.6 Implement the IS/IT strategy as a key enabler of the Corporate, Business and Reform Plans</p>	<p>Extent of implementation of key elements of the strategy</p>	<ul style="list-style-type: none"> • Both reviews completed by September 2003 	<p>To undertake a strategic review of Networks To undertake an IS organisational review</p>

Accommodation Strategic Goal 10

To put in place firm plans and proposals for new accommodation for PRONI.

Strategic Objectives	How performance will be measured	Key and other performance indicators	Actions and Initiatives
10.1 Plan for long-term accommodation needs	Team formed and active Outline business case prepared	June 2003 October 2003	To establish a team (with DCAL) to consider new accommodation issues for PRONI. (FPM) To contribute with DCAL to the preparation of an outline business case for new accommodation under a PFI or PPP scheme (FPM)
10.2 In the short to medium term to maintain a safe and secure environment for the records, staff and visitors in compliance with statutory requirements.	Degree of compliance with Health & Safety Regulations and Disability Discrimination Act All additional staff satisfactorily accommodated and public areas refurbished to facilitate on-line access	Accepted recommendations (i.e. those which are practical and can be resourced) implemented within 3 months of receipt of report Resources secured by July 2003 Temporary accommodation ready for occupation by September 2003	Quarterly risk assessments carried out and reports and recommendations submitted to Management Team (CS) <ul style="list-style-type: none"> Seek resources for temporary building in June monitoring round (CS) Work with Construction Service on design, construction and servicing of temporary building (CS)

The financial environment

Strategic goal 11

Maximise the use of resources in order to achieve Reform Plan and other operational imperatives by managing them effectively, demonstrating value for money and improving efficiency where possible.

Strategic Objectives	How performance will be measured	Key and other performance indicators	Actions and Initiatives
11.1 Effective management of financial resources demonstrating value for money	Actual expenditure against allocation	To live within annual budget allocation with no more than 5% under-spend	Close management of all financial processes and provision of timely information to the Management Team so that effective decisions are made as early as possible (CS)
11.2 Secure the additional funding necessary to complete the eCATNI project (see also Goal 5)	Realistic capital baseline allocated	Case accepted at June 2003 monitoring round	Case for capital baseline made to DFP (required to enable us to plan more effectively for the purchase and replacement of vital IT and other equipment and machinery) (CS) Bid for resources needed to complete the eCATNI project made to DFP (CS)
11.3 Fully explore the opportunities to reduce dependence on public funds by increasing income for value added services and products and attracting additional (external) funding for specific projects (see also Goal 7)	Ability to raise and retain additional revenue	<ul style="list-style-type: none"> • Potential and feasibility assessed by August 2003 • Legal and accounting position determined by November 2003 • Charging policy developed by February 2004 	<ul style="list-style-type: none"> • To investigate the potential to raise additional revenue by charging for value added products and services and the practical and technical feasibility of facilitating on-line payments (CS and IS) • To investigate with DCAL and DFP the legal, accounting, technical (IS) and practical implications (CS) • To develop a charging policy (CS)

PRONI Reform Plan 2003 to 2006

Reform title	Opening Information in the Digital Age.
Reform aims	<p>To make effective use of new technology to:</p> <ul style="list-style-type: none"> • provide easier and wider customer access to PRONI's information resources on-site and off-site • assist PRONI's NICS and wider public sector customers to develop and implement best practice records management standards so that the most important information (including that in electronic form) is selected and preserved for as long as needed <p>PRONI will seek to achieve this aim by:</p> <ul style="list-style-type: none"> • a programme of digitising and microfilming important genealogical and other information resources and making available on-line and on-site • contributing (with partners) to development of quality genealogy service • promoting wider use of PRONI's records as key information and educational resource available to all • contributing to culture change required throughout the NICS and wider public sector to improve records management practices and develop electronic records management standards in preparation for introduction of FOI (from 2005)
PfG etc. links	<p>Growing as a Community - New Sub Priority: Understanding our culture, history and heritage</p> <p>Contributing to a greater understanding of our culture, history and heritage by ensuring that the management of NI's archival heritage is relevant to present and future generations and accessible to the widest possible audience.</p> <p>Investing in Education & Skills - Sub-Priority: Cultural and information services contribution to education</p> <p>Developing strategic framework to support DCAL's Learning Strategy and ensure achievement of educational potential of PRONI's information resources</p>
Budget <i>(at 2002/03 prices)</i>	<p>This Reform Plan relates to all PRONI's external customer service operations (both on- and off-site).</p> <p>Budget summary:</p> <p><i>Easier access to the records</i> - c. £700k per annum on digitising and microfilming records and developing a quality genealogical service (+ external resources to fund specific projects e.g. eCATNI project funded by EPF and Freeholders' Registers project funded by NOF). In addition external funding and partnerships will be sought for the digitisation of other important records</p> <p><i>Promoting wider use of the records as an education and learning resource for all</i> - c. £75,000 per annum</p> <p><i>Assisting in the development and introduction of electronic management systems and improving records management</i> - c.£230,000 per annum</p>

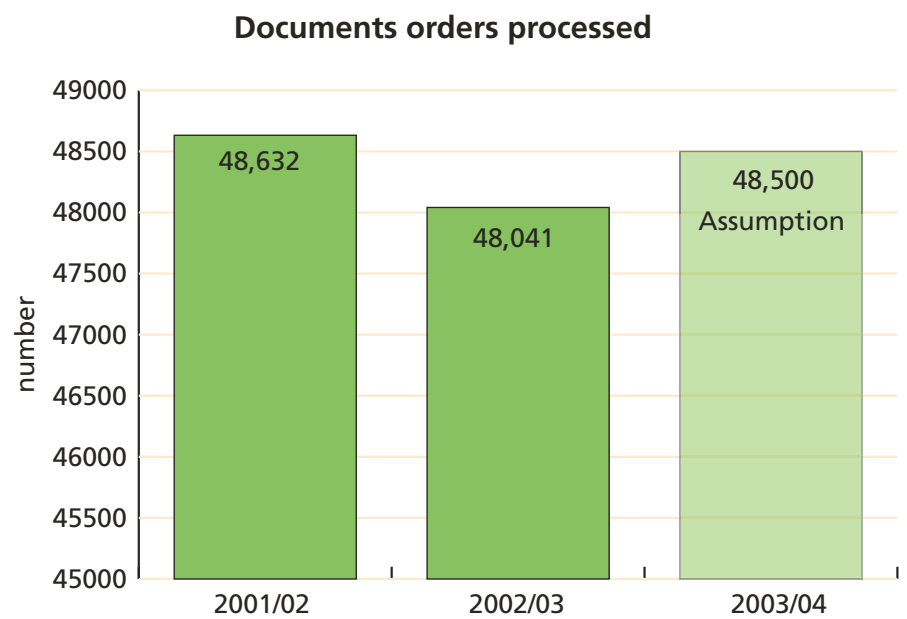
<p>Intended outcomes</p>	<p>Easier access to the records</p> <ul style="list-style-type: none"> • PRONI's descriptive lists, the Ulster Covenant, the Freeholders' registers, will books, 1911 census, Cabinet Conclusions and important genealogical sources digitised and/or microfilmed and made available to customers in ways most convenient to them (on-line/on-site) • A quality genealogy service which meets customers needs (and links PRONI's resources with those of other key institutions) developed and in place Promoting wider use of the records as an education and learning resource for all: • New markets for PRONI's information penetrated (with efforts focused on addressing social exclusion and diversity, and wider use made of PRONI's information resources particularly in education and learning Assisting in the development and introduction of electronic management systems and improving records management: • Best practice records and electronic records management systems adopted and used consistently throughout the public sector to help ensure <ul style="list-style-type: none"> – NICS and wider public sector business need for information fully met – that information of historical and other research value is selected and preserved for as long as it is needed and non-essential records disposed of at the most appropriate time – public sector compliance with OG and FOI standards
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<p>Timetable/ milestones</p>	<p>Easier access to the records</p> <ul style="list-style-type: none"> • Programme to digitise and microfilm key genealogical records and make them available will continue throughout the period. This will include Freeholders' registers on-line by mid 2003/04; 1911 Census microfilmed and available by early 2003/04; will books digitised and available by late 2003/04; Cabinet Conclusions available by mid 2003/04; PRONI's descriptive catalogues digitised and on-line by 2005/06; other selected records digitised or microfilmed as partners and funding become available • For quality genealogy service <ul style="list-style-type: none"> – scoping study completed by April 2003 – business case developed and detailed planning including seeking partners and funding undertaken by March 2004 – implementation during 2004/05 • Creation of virtual 'one-stop-shop' and availability of information online will be major customer improvements with potential to change radically service delivery and provide an enhanced income stream for PRONI and other parts of the public sector. This potential will be investigated in parallel with the above actions <p><i>Promoting wider use of PRONI's records as education and learning resources for all:</i></p> <ul style="list-style-type: none"> • Development of marketing, education, learning and outreach strategies by mid 2003/04 • Implementation of strategies which address social inclusion and cultural diversity and lead to wider use of PRONI's records - as measured by <ul style="list-style-type: none"> – range and number of new markets penetrated – number of new partnerships established – number of new products developed – extent to which e products are used <p><i>Assisting in the development and introduction of electronic management systems and improving records management:</i></p> <ul style="list-style-type: none"> • Electronic records management pilot schemes (including PRONI) completed by March 2004 • ERM standards and systems developed and progressively introduced across the NICS by March 2005 • Draft guidance on information audits and disposal schedules issued to NICS departments and wider public sector by April 2003 with on-going support for records management provided throughout the period (including organising educational events, contributing to externally organised seminars and conferences and developing and delivering records management training courses to all who need them by 31 March 2005) • In conjunction with NICS departments, disposal schedules (legal mechanism for preservation or destruction of documents) covering all departments in place by 31/5/05 • Departments and wider public sector able to meet FOI requirements by 2005 • Earlier disposal of non-essential records leading to substantial reduction in storage
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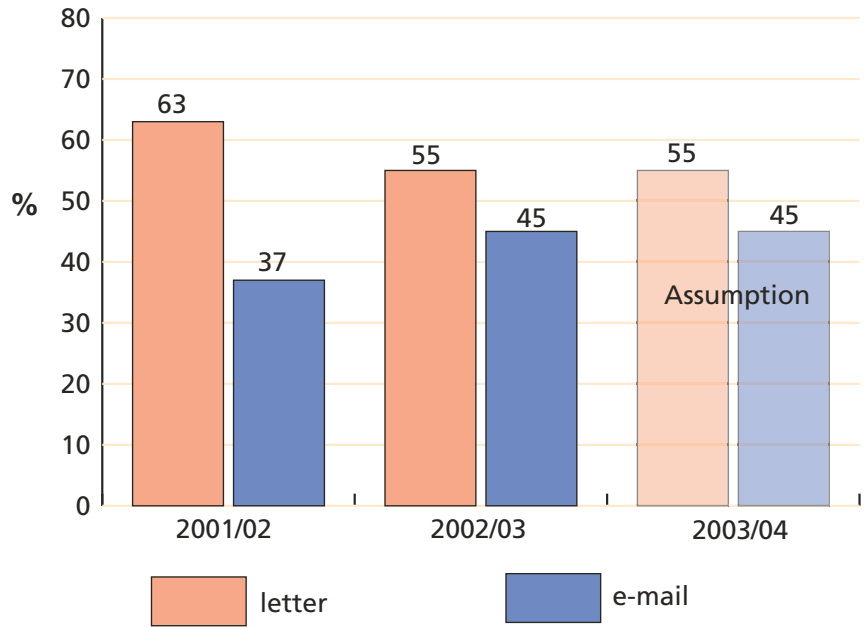
Financial Impact	<p>Easier access to the records</p> <p>Digitisation of selected records is likely, subject to availability of resources, to continue for many years and will require on-going hardware and software capacity. No staff savings will result from this reform but the potential to raise revenue from online availability will be fully explored.</p> <p>Promoting wider use of PRONI's records as education and learning resources for all: Neutral in terms of costs and savings - main beneficiaries will be customers</p> <p>Assisting in the development and introduction of electronic management systems and improving records management: Successful implementation of good records management practices across public sector will result in early identification and preservation of the most valuable records and destruction of other records at earliest point allowed. In long term, will release valuable storage space and reduce pressure on Government estate, while also speeding up information retrieval.</p>
Pay and workforce implications	<p>Easier access to the records</p> <ul style="list-style-type: none"> Quality genealogy service could have a significant impact on PRONI in relation to charging policy/income generation, staff resources and service delivery. However, plans are insufficiently advanced to assess likely full impact . 9 temporary staff to be recruited for 3 years to complete eCATNI project (EPF to fund salaries) <p>Apart from above, implementation of reforms are expected to be neutral in terms of staff numbers and pay (see efficiency plan for details).</p>
Equality and New TSN	<ul style="list-style-type: none"> Making more and better information available on-line and on-site will help improve access for all to PRONI's holdings PRONI's efforts to promote the value and encourage use of PRONI's records as a key information and educational resource will address issues of social exclusion and equality.
Risk analysis	<p>Easier access to the records:</p> <ul style="list-style-type: none"> Lack of EPF funding beyond 2003/04 to complete the eCATNI project Lack of baseline resources to sustain long-term digitisation and microfilming programme and consequent reliance on attracting external partners and funding for projects Possible lack of funding and partners to establish quality genealogy service <p>Promoting wider use of records as an education and learning resource for all: Lack of resources to deliver statutory services could result in decrease of activity in this (non-statutory) area</p> <p>Assisting in the development and introduction of electronic management systems and improving records management: PRONI will be well placed to provide leadership, guidance and on-going support on records management but main risk is that records management will not be given high enough priority by Departments, i.e. insufficient resources, training and time committed</p>
Partners	<p>Digitisation and quality genealogy service:</p> <p>Potential partners will include genealogical and local history societies, universities, General Register Office and other archival institutes e.g. National Archives, Dublin.</p> <p>Promoting wider use of records as an education and learning resource for all: Department of Education, DCAL Core, universities, community groups</p> <p>Assisting in the development and introduction of electronic management systems and improving records management: entire public sector, including NICS Departments, NDPBs, local authorities and boards (Education & Library and Health & Social Services)</p>

Responsibility	<p>Easier access to the records : Access (eCATNI), Public Services, Funding and Project Management, and Education, Learning and Outreach Sections Education, Learning and Outreach and Public Services (quality genealogy service) Sections</p> <p><i>Promoting wider use of records as an education and learning resource for all:</i> Education, Learning and Outreach Section</p> <p><i>Assisting in the development and introduction of electronic management systems and improving records management:</i> Records Management and Administration and Information Systems Sections</p>
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Business Plan - Key Workload Assumptions



Correspondence - letter & e-mail



Volume of correspondence

