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MINISTRY OF INFORMATION AND COMMUNICATIONS TECHNOLOGY (ICT)

INFORMATION MANAGEMENT SERVICES POLICY

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Table of Contents

Table of Contents.....	1
Foreword.....	3
List of Abbreviations and Acronyms	4
1 INTRODUCTION	5
1.1 Background.....	5
1.2 Situational Analysis	6
1.3 Development Context.....	10
1.4 Rationale for the IMS Policy	10
1.5 Information Management Services Policy for Uganda	12
1.5.1 Vision.....	12
1.5.2 Mission.....	12
1.5.3 Policy Goal.....	12
1.5.4 Policy Guiding Principles.....	12
1.5.5 Policy Objectives	13
2 POLICY PRIORITY AREAS	13
2.1 Legal Framework	13
2.2 Data Standards.....	14
2.3 IMS Security.....	14
2.4 Infrastructure	15
2.5 Human Resource Development	15
2.6 Awareness and Education	16
2.7 Resource Mobilisation.....	16
3 INSTITUTIONAL FRAMEWORK & POLICY IMPLEMENTATION.....	17

3.1	IMS Policy Institutional Framework.....	17
3.1.1	Ministry of ICT.....	17
3.1.6	Other Stakeholders.....	18
3.2	Implementation Arrangement.....	18
3.3	Monitoring and Evaluation.....	19
	GLOSSARY.....	21

Foreword

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List of Abbreviations and Acronyms

BPO	Business Process Outsourcing
ICT	Information and Communications Technology
IMS	Information Management Services
IT	Information Technology
ITeS	Information Technology enabled Services
LAN	Local Area Network
MDA	Ministries, Departments and Agencies
NDP	National Development Plan
NITA-U	National Information Technology Authority - Uganda
PKI	Public Key Infrastructure
PPP	Public Private Partnership
WSIS	World Summit on the Information Society

1.0 INTRODUCTION

1.1 Background

As a best practice, information management should be a core component of government infrastructure; it should be the intellectual capital of responsible governance. Best practice policies and standards result in efficient, accountable and cost-effective use of resources. Information Technology (IT) constitutes the full operation of technologies and services that support information management.

A scan in Government Ministries, Departments and Agencies (MDAs) reveals that there are varying efforts to embrace IT to support Information Management for effective service delivery. However, these efforts are uncoordinated and haphazard, thus leading to a proliferation of stand-alone systems which lack interoperability. Besides, there is no Government Chief Information Officer (CIO) who would be responsible for the corporate management of Information and Information Technology. A smart Information management services strategy is what is required and it should operate under the following principles:

- Information is a vital government asset that must be managed and, where appropriate shared to minimize duplication of effort and, hence, wastage of scarce resources.
- Information and technology are key components of delivering cost-effective government services to the public.
- Information and Technology have the potential, where planned and managed properly, to improve productivity and reduce costs to government.
- Information and technology are strategic enablers of quality government service delivery.
- The management and business principles applied to other government resources should be applied to information and technology resources.

- The private sector is a partner to government in supplying services for the development and support of information systems, services and technology.

Government of Uganda has, therefore, unreservedly developed this Information Management Services Policy to tap into the above potential benefits and make them a reality in harnessing Information Technology for effective and efficient service delivery.

1.2 Situational Analysis

The uptake of Information and Communications Technology (ICT) directly impacts the effectiveness of Information Management and related services. The uptake of ICTs in government MDAs is not even, some have more advanced systems and resources while others are at the initial stage. As a result, on a national level, we have incompatible systems and services which are not integrated. Most of the ICT implementation is located in the central MDAs leaving the local governments out. In most cases, information management is mainly manual, unsystematic and tedious. Access to information for decision making, inter-agency sharing of data/ information, archival and public access to information is largely difficult.

Some MDAs have put in place the infrastructure to support effective information management by implementing Information Technology enabled Services (ITeS) such as automated document managements systems, websites, web portals, etc. Most information on websites is stale, outdated and the content is static and hinders successful access by the public to government information. There are no standards for business continuity and information security.

There is duplication in data/ information records in some institutions across government, which leads to wastage of resources.

The traditional mindset of the civil servants is another hindering factor to successful information management. As much as Government of Uganda has embraced ICT as a key pillar for social and economic development in the current National Development Plan (NDP) 2010, the implementation of ICT has been slow yet the infrastructure is necessary for successful implementation of and Information Management Services (IMS).

The other areas to consider in the situational analysis are;

1.2.1 Policy Framework.

The National Development Plan (2010) under objectives, strategies and interventions, section 328, objective 2, strategy 1, calls for the enhancement of use and application of ICT services in business and service delivery and strategy 3 calls for the development and implementation of a policy, legal and regulatory framework for the systematic development of the sector. Further still, Section 329, objective 4 calls for enhancement of access to quality, affordable and equitable information services country wide.

The National ICT Policy Framework (2003) has two objectives that address IMS. Objective 6 provides for stimulation of the production, storage and dissemination of National information and objective 7 also provides for facilitation of access to public domain information.

The draft national IT policy (2010) for Uganda under the IT infrastructure objective, strategy 6; calls for automation of government processes and procedures to bring about transparency, reduce constraining controls, increase efficiency and productivity and reduce cost of service delivery.

The draft Uganda national e-government framework (2010) addresses the importance of IMS. Under section 1.1.1 (v), it states that whole-of-government information

architecture is a catalyst to govern all Ugandans in an open, effective and efficient manner that also ensures a sustainable future.

1.2.2 Legal Framework. The Access to Information Act was enacted in 2010. The main objective of the policy is to operationalise the constitutional guarantee of access to public information by all citizens. Many citizens are not aware of this Act so they cannot exercise their right. The Ratification of Treaties Act 5/1998 provides for the procedure for ratification of treaties in accordance with article 123 of the Constitution which allows Uganda in ratifying international conventions like the International Covenant on Civil and Political Rights which Uganda ratified in 1995. This convention is closely linked with the Access to Information Act.

The cyber bills, namely; the computer misuse bill, electronic signatures bill and electronic transactions bill are still undergoing approval procedure under the Parliament of Uganda. The cyber bills when passed will govern the implementation and use of IMS in areas like privacy, integrity and electronic signatures. They will facilitate online government services to citizens. However, successful effect of these bills once passed will require supporting technologies like Public Key Infrastructure (PKI) and certificate authorities.

1.2.3 Human Resource. Human resource is an important component in the efficient and effective implementation of IMS countrywide. The country has a reasonable number of IT literate and knowledgeable graduates. However, there is need for technical specialized skills in handling national sensitive data/ information thereby creating the need for expertise in areas like business continuity, business intelligence, programming, risk managers, internal users and re-training.

1.2.3.1 Change Management. A change management strategy is required from the top leadership all the way down in the public service workforce. Effective communication is necessary to sensitize people on changes that will take place.

1.2.4 Infrastructure. The success of Information Management heavily depends on IT infrastructure. Currently, the government is installing the National Data Transmission and e-Government backbone infrastructure. Further still, a national data centre is planned to be built to provide government wide data storage, usage and sharing. Several MDAs have already installed Local Area Networks (LANs) to facilitate easier communication and information sharing. Last mile solutions will be required to reach remote areas.

1.2.5 IMS awareness. Ministry of ICT has developed an e-government strategy. Since there hasn't been a policy specifically on IMS, there is hardly any awareness on this area.

1.2.6 Data standards and regulations. The National Information Technology Authority – Uganda (NITA-U) was established in 2009 to address among others, the matter of defining standards, risk management strategies for data, protection and retention of data. The Authority is still new and will take a bit of time to enforce the standards. There is need to expedite the process of the standards by NITA-U to facilitate the policy.

1.3 Development context

This policy has been developed in the context of the international conventions that Uganda is party/ signatory to.

The International Covenant on Civil and Political Rights which Uganda ratified in 1995 guarantees the right to information. This presents States with the obligation to ensure access to information, particularly with regard to information held by Government in all types of storage and retrieval systems.

The Declaration of Principles of World Summit on the Information Society (WSIS) 2003, section B (3) recognizes the sharing and strengthening for development can be enhanced by removing barriers to equitable access to information for economic, social, political, health, cultural, educational and scientific activities by facilitating access to public domain information including by universal design and the use of ITeS (assistive technologies).

The Resolution adopted by United Nations General Assembly (2002) recognizes the need to harness knowledge and technology for promoting the goals of the United Nations Millennium Declaration and to find effective and innovative ways to put this potential at the service of development of all people.

1.4 Rationale

A lot of information is being created every day in Government which is central to both the public and private sector. Government therefore has the largest repositories of information and databases that require an IMS policy for efficient management. In order to avail consistent high level public services, support collaborative work systems and improve governance (transparency and accountability), MDAs should implement strategies to ensure that information is captured, managed and shared securely. The other areas to note for rationale for the Information Management Services policy include;

- a) Support for the development, improved public service delivery and assessment of all government programs, policies and services
- b) Improved productivity (efficiency) in the public service workforce
- c) Improved quality of decision making within Government
- d) Improved performance of tasks (effectiveness) by the public service workforce
- e) Improved learning curve within the public service workforce
- f) Upgraded work-function importance
- g) Automated replacement of certain manual tasks

- h) Faster response time
- i) Reduced turnaround time
- j) Tighter security and reduced violations
- k) Decreased instances of lost or missing information
- l) Provision for promoting government transparency and accountability to earn public trust.
- m) Enablement of the successful deployment of the national backbone infrastructure/ e-government infrastructure and other information technology infrastructure
- n) Improve global competitiveness of the country as an information society.
- o) Preservation of integrity of electronic information over time across rapidly and complex changing technologies.
- p) Provide overall guidance to promote BPO in the country

Currently in most government departments, required information is not easily obtained, key activities and decisions are not properly documented, and there is lack of flexible inter-organizational sharing of information, valuable information is sometimes lost. Privacy and security are not fully ensured. Poor access to information also lowers the country's global competitiveness in the global information and knowledge based era. This therefore justifies the development of an IMS policy to effectively organize and equip government with the capacity to address the above hindrances. Further still, this policy will enable government attain its goal of transforming the country into an information and knowledge based society.

1.5.0 IMS Policy for Uganda

It is the intention of the Government of Uganda to consolidate its efforts and focus its energies to harness the vast information resources to facilitate improved service delivery provision and ease of access to information by the citizenry.

1.5.1 Vision

A knowledge based economy where national development and governance are achieved through effective utilization of Information Management services.

1.5.2 Mission

To provide efficient and effective management on information resources to fundamentally transform public service delivery.

1.5.3 Policy Goal

To guide the effective use of IMS in all Ministries, Departments and Agencies.

1.5.3 Policy guiding principles

- ❖ Access to and protection of well managed information: The government shall ensure access and full time availability of well managed information and its integrity to both its internal and external customers.
- ❖ Globalization: The policy implementation shall take into consideration developments at the global level so as to capitalize on latest trends in IMS.
- ❖ Community mobilization: Government shall encourage citizen participation through mass awareness campaigns.
- ❖ Availability: Public information should be accessible to both internal and external customers anytime, anywhere and by any means.
- ❖ Public Private Partnership: The Government shall partner with the private sector to develop and implement IMS.

1.5.4 Policy objectives

The national IMS policy shall have the following objectives

1. To develop an enabling legal framework for IMS.
2. To harness the value of the information and knowledge held within Government.

3. To build an information management and knowledge-sharing culture with Government.
4. To provide for the use of common information management standards and secure access, storage and archival within Government.
5. To develop a security framework for IMS.
6. To put in place the requisite infrastructure for IMS.
7. To transform the public service to attain world class standards in IMS.
8. To provide leadership with modern IMS tools for improved and quicker decision making.
9. To increase budgetary allocations to ICT Initiatives in all MDAs under which IMS will be catered for.
10. To improve the country's global competitiveness.
11. To attract Business Process Outsourcing (BPO) investment into the country.
12. To engage leadership to manage the transformation of the attitude and behavior of personnel.
13. To put in place an effective communication strategy.

2.0 POLICY PRIORITY AREAS

2.1 Legal Framework

Currently, there is lack of specific legislation to facilitate the implementation and use of Information Management Services in the country. In order to address this gap, the Government of Uganda shall:

Policy strategies:

1. Review and amend any relevant Laws and Acts to address IMS as a specific sector.
2. Advocate for use of IMS as a key corporate government function in MDAs.

3. Hasten enforcement and awareness of the cyber laws to ensure the proper use of IMS.
4. Develop the legal framework to address data handling, protection and retention.
5. Advocate for outsourcing of non-core processes to qualified third party entities to increase efficiency and concentration on MDA core activities.
6. Develop and enforce policies and guidelines for public servants to record, capture and protect key information to ensure efficient public service delivery and government accountability.

2.2 IMS Standards

The successful implementation of IMS, while ensuring interoperability, requires different IT systems to converge and inter-connect. There are not any set guidelines to govern implementation of ITeS in MDAs. To this end, the Government shall:

Policy Strategies

1. Set standards definitions, develop and disseminate metadata structures to allow MDAs to develop systems in a consistent and standardized way, and to present data already in existence in a coherent manner.
2. Advocate for enforcement of service level agreements across MDAs for IMS to ensure business continuity and disaster recovery in order to attain a high and reliable level of service provision.
3. Develop content management systems standards to ensure interactive provision of IMS through websites and web portals.
4. Disseminate set standards to all MDAs and monitor compliance.

2.3 IMS Security

Implementation of IMS requires high level of safety to ensure confidentiality, integrity and availability of Government information. To this end, the Government shall:

Policy Strategies

1. Develop guidelines for managing access to information held in MDAs so that its disclosure and access do not cause an information security breach.
2. Develop and implement a risk management strategy.
3. Set and enforce encryption guidelines to protect government sharing of information and resources to ensure trustworthy IMS environments.

2.4 IMS Infrastructure

The national backbone and e-government infrastructure provides countrywide platform for access to IMS. There is uneven distribution of IT infrastructure in MDAs, yet standard infrastructure is a prerequisite for successful implementation of IMS. To this end, Government of Uganda shall:

Policy Strategies:

1. Establish Shared Services centers in all the regions of the country to facilitate the easy access to government information.
2. Advocate for the use of the NBI to enhance inter departmental collaboration and increase efficiency of the public sector work force.
3. Advocate for implementation of intranets, data warehouses, Local Area Networks and Wide Area Networks in all MDAs to facilitate interdepartmental sharing of data.
4. Establish online access points among communities to ensure access to IMS in areas that have limited infrastructure.
5. Establish internet exchange points in regional areas of Uganda to provide more efficient local traffic. The local internet exchange points will act as a convenient hub for hosting IMS.

2.5 Human Resource Development

There is a reasonable number of IT literate and knowledgeable graduates in the country but it is not adequate to achieve critical mass. More specifically, public service workforce lacks adequate IT skills. Implementation of IMS requires specialized skills and expertise due to its technical nature. To this end, the Government of Uganda shall:

Policy Strategies

1. Facilitate development and inclusion of IMS curriculum in relevant institutions of higher learning.
2. Develop training programs to equip civil servants with sufficient skills that support the implementation of IMS.
3. Institutionalize the IMS function in public service.

2.6 Awareness creation

IMS relies largely on awareness among the public service, business sector and the wider public who all have to appreciate and harness its advantages. The little awareness that exists is concentrated in the main metropolitan area of Kampala. It is almost nonexistent in rural areas. To this end, the Government of Uganda shall:

Policy Strategies

1. Develop and implement a strategy for awareness campaigns at levels of public administration and amongst communities countrywide to change mindset and minimize resistance to change.
2. Develop a comprehensive and highly interactive IMS web portal for public access.
3. Organize annual events to promote IMS awareness.

2.7 Resource Mobilization

Government is already spending substantial amounts of financial resources in all MDAs on manual and archaic systems. It is the intention of government to embrace IT enabled IMS so as to usher in efficiency and effectiveness in service delivery. To this end, the Government of Uganda shall:

Policy Strategies

1. Carry out the cost benefit analysis of introduction of IT enabled IMS in all MDAs and determine the amount of saving that accrues thereof.
2. Require all MDAs to allocate a specified percentage of their annual budgets to IMS.
3. Put in place a mechanism to fund budgetary shortfalls from development partners.

3.0 INSTITUTIONAL FRAMEWORK

3.1 IMS institutional framework

3.1.1 Ministry of Information and Communications Technology (ICT)

The Ministry of ICT shall be responsible for policy, regulation, standards, guidelines and quality assurance in regard to IMS in MDAs. It will provide technical support, supervision and guidance, as well as undertake monitoring and evaluation. This will be through various activities which include but are not limited to the following:

- 1) Provide technical support in development of institutional IMS policies.
- 2) Develop a PPP to guide policy implementation within the private sector.
- 3) Take lead in consultation with development partners for extra resource mobilization.
- 4) Take lead in IMS awareness creation.

3.1.2 Office of the Prime Minister

OPM is responsible for coordination and supervision of all Government programs. As regards implementation of IMS policy, OPM shall;

- 1) Monitor progress against targets to ensure improved efficiency in service delivery.

3.1.3 Ministry of Public Service

Ministry of Public Service is responsible for the entire human resource in Government. As regards implementation of IMS policy, Ministry of Public Service shall;

- 1) Integrate knowledge management and information sharing into core competencies of all civil servants at all levels.
- 2) Establish and implement human resource IMS structures in all MDAs

3.1.6 National Information Technology Authority – Uganda (NITA-U)

NITA-U is responsible for IT standards across Government. It is responsible for ensuring that Government systems are compatible and interoperable. As regards implementation of IMS policy, NITA-U shall;

- 1) Set, enforce and monitor standards for IMS provision.
- 2) Ensure that best practice and consistent standards are applied across government to promote compatibility and interoperability across IMS systems in all MDAs.
- 3) Provide technical support to MDAs and LGs in development of and roll out of the IMS

3.1.7 Ministry of Local Government

Ministry of Local Government plays a direct role in disseminating Government information to local Governments. As regards implementing the IMS policy, Ministry of Local Government shall partner with Ministry of ICT in;

- 1) Awareness creation for the IMS Policy amongst Local Governments.
- 2) Ensure implementation of the IMS policies and standards.
- 3) Monitor and evaluate the IMS policies and standards.

3.1.8 Local Governments

The Local Governments are the link with the communities and are responsible for overseeing implementation of Government policies at local government level.

Local Governments shall partner with Ministry of ICT and NITA-U in;

- 1) Awareness creation for the IMS policy policies and standards
- 2) Roll-out of IMS in LGs

3.1.9 Private sector

Governments of Uganda's strategy in implementing its programs and policies is to partner with the private sector as far as possible. In this approach;

- 1) Ministry of ICT and NITA-U shall partner with the Private sector to implement the IMS policies and standards, especially with regard to
 - (i) Supply of Hardware and Software materials
 - (ii) Capacity Building Services
 - (iii) Installation of Infrastructure for Data Transmission

3.1.1.0 Other Stakeholders

All MDAs are stakeholders as regards the implementation of the IMS policy. In this regard, they shall;

- 1) Ensure adequate budgetary allocations for IMS in line with the propositions of this policy.
- 2) Ensure adequate human resource capacity within institutions.
- 3) Collaborate with Ministry of ICT and NITA-U in implementation of IMS.
- 4) Incorporate IMS policy objectives into the service delivery mechanisms.
- 5) Participate in awareness campaigns.

3.2 Implementation Arrangement

The Ministry of ICT shall develop a strategic plan for implementing the IMS policy detailing the period, baseline, targets, outputs and outcomes of the policy. This policy

shall be implemented through collaboration with other stakeholders as highlighted in the institutional framework.

3.3 Monitoring and Evaluation

Realisation of the outputs of this policy will require consistent monitoring and evaluation of the outcome indicators. Office of the Prime Minister, Ministry of ICT and MDAs shall carry out monitoring and evaluation at different levels of the impact of implementation of this policy.

A monitoring and evaluation framework shall be developed to ascertain medium and long term impact of the policy in MDAs. The policy shall receive a mid-term review every three (3) years and a long term review every five (5) years in order to cater for the fast rate of technology innovation and advancement.

Glossary

Backbone	A bulk data communication network.
Best Practice	Practice that is available for use by other projects or for incorporation into the standard engineering process in order to improve development productivity or product quality.
Change Management	This is a structured approach to transitioning organizations from a current state to a desired future state.
E-Government	Use of information and communication technologies and the Internet to improve the delivery of services by government to its citizens and the business sector.
Information Society	A type of society in which information and information access plays a central role, economically, socially and individually.
IT	The term information technology includes computers, ancillary equipment, software and firmware (Hardware) and procedures, services and includes any equipment or Interconnected system or subsystem of equipment, which is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission or reception of data or information.
IT Infrastructure	Sum of IT related hardware, software, data telecommunication facilities, procedures and documentation.
Last mile solution	This refers to the final leg in connecting remote areas to the main communications infrastructure like the backbone. It could be done technologies like wireless or microwave.
Plan	A document that outlines how a requirements project's objectives will be accomplished and what is needed to accomplish it.
Policy	A document that provides guiding principle that sets an expectation of behaviour, actions, and deliverables.

Stakeholder(s)	Consists of all parties (people or systems) who will have a legitimate interest in the outcome of the project or is affected by its outcome.
Standard	Mandatory requirements employed and enforced to prescribe a disciplined uniform approach to software development, that is, mandatory conventions and practices are in fact standards.