Home Office

IDENTITY AND PASSPORT SERVICE FRAMEWORK AGREEMENT

Contents

DRAFT FOREWORD BY HOME OFFICE MINISTER FOR IDENTITY

Proving identity or entitlement to a service quickly and effectively is fundamental to a safe society and an efficient economy. From getting a job and using a bank, purchasing goods and accessing services through to facilitating easier travel by UK citizens, the need for reliable proof of identity forms part and parcel of our everyday lives.

That is why it is important to safeguard your identity. That is the goal of the National Identity Service and the vision of the Identity and Passport Service (IPS).

IPS issues passports in an efficient cost effective way, is developing the National Identity Service and implementing the Service in a phased way ensuring sound testing and evaluation of each stage. It also carries out the statutory functions of the Registrar General. In so doing, it plays a vital part in delivering the Government's commitment to help you to safeguard your identity.

The Identity and Passport Service was created as a separate agency of the Home Office in 2006. It has proved a success in the way that it has delivered excellent public service and the public trust that it has engendered, for example in the way it holds personal information securely.

The General Register Office transferred to IPS from the Office for National Statistics on 1 April 2008.

The Identity and Passport Service does not operate alone in delivering the Government's priorities for safeguarding identity. As the Framework Agreement makes clear, it is critical to the Agency's success that it works effectively with other parts of the Home Office, with other Government Departments, with a wide range of Government arms length bodies, with law enforcement agencies and with international partners. At the heart of this will be continued effective coordination with the Foreign and Commonwealth office and UK Border Agency, which will ensure passport services are available to British Citizens overseas and help keep out those who might cause us harm.

This Framework Agreement sets out the clear strategic objectives, responsibilities and lines of accountability of IPS. These will help to ensure that IPS is able to deliver on its key purpose of safeguarding identity.

Meg Hillier MP

PART I: AIMS, ROLES AND RELATIONSHIPS

SECTION 1
INTRODUCTION

1.1 The Identity and Passport Service

The Identity and Passport Service (IPS) was established as an Executive Agency of the Home Office on 1st April 2006. The transfer of the General Register Office (GRO) from the Office for National Statistics took place on 1st April 2008. IPS is continuing to modernise civil registration and the way the GRO delivers its business.

IPS's responsibilities, on behalf of the Home Secretary, are to:

- provide passports and passport services;
- carry out the statutory functions of the Registrar General;
- deliver the National Identity Service which includes establishment of a National Identity Register;
- issue identity cards and provide the means of verifying the identity of individuals for accredited organisations;
- promote the use of the National Identity Service across the public and private sectors to safeguard identity and ensure full realisation of the benefits of the Service.

The role of IPS extends beyond those normally associated with an executive delivery agency. IPS, on behalf of the Home Secretary, is charged with promoting best practice in safeguarding identity and influencing business decisions to enable the realisation of benefits from better identity management in the UK. Through the Permanent Secretary, IPS will be the primary source of advice to the Home Secretary on policy issues relating to the National Identity Service. The Chief Executive is responsible for representing the Home Office on safeguarding identity policy in all dealings with other government departments and private sector organisations.

Passports are issued under the Royal Prerogative. Identity cards are issued under powers provided to the Home Secretary for the Home Department by the Identity Cards Act 2006. The final decision as to whether to issue or revoke a passport or identity card is undertaken by IPS staff, on behalf of the Home Secretary.

GRO administers the marriage laws and secures the provision of an efficient and effective system for the civil registration of vital events, i.e. births, stillbirths, adoptions, civil partnerships, marriages and deaths.

It provides advice and guidance on registration matters to the public, registrars, local authorities, Ministers, MPs and government officials, maintains an archive of all births, marriages and deaths since 1837 and maintains the Adopted Children's Register, Adoption Contact Register and other registers, supplying certificates from these registers and the archive.

Civil registration is shaped by numerous pieces of legislation, originating from a number of government departments, some dating back to 1837.

IPS will continue to work closely with its delivery partners, the UK Border Agency (UKBA), the Foreign and Commonwealth Office (FCO), the Department for Work and Pensions (DWP) and a number of private sector organisations to deliver its services.

1.2 The Framework Agreement

This document sets out the roles and responsibilities of the IPS Chief Executive (including his Registrar General for England and Wales role), the Permanent Secretary and the Home Office Board. It sets out the governance framework under which IPS operates.

The document outlines the operational freedoms IPS has, but it also sets out the underlying principles that underpin how it works in the Home Office. These cover key corporate processes and functions, including strategy, planning, performance and risk management, security, information assurance, human resources and other support services. This Framework Agreement is consistent with the Home Office Departmental Framework, which sets out the general operating principles for the wider organisation and the duties that the Home Office has to IPS.

The Framework Agreement will be reviewed as necessary and at no longer than three-year intervals to ensure that it best supports the aims and objectives of IPS, the wider Home Office and the Government more generally. Any variations to the Framework Agreement will be made by written agreement between IPS and the Home Office.

Copies of the Framework Agreement and any subsequent amendments will be published and placed in the libraries of both Houses of Parliament.

SECTION 2
PURPOSE, STRATEGIC OBJECTIVES AND VALUES

2.1 Purpose

The key purpose of the Home Office is to protect the public. The specific purpose of IPS is to safeguard people's identity.

Through the delivery of its services IPS contributes to the following benefits for individual citizens, private and public sector organisations:

- ensuring citizens are able to travel freely using secure travel documents
- providing secure identity documents making it simpler for individuals to prove their identity and so protect them from identity fraud
- enabling citizens to more easily access public services, and to prove their entitlement to free services
- helping employers to establish the identity of job applicants and preventing the abuse of identity by those in positions of trust
- modernised delivery of a system of registration of key life events such as birth, marriage and death that dates back to 1837.

To support the Home Secretary and the Registrar General, IPS will work in partnership with other government departments and relevant local authorities to ensure that civil registration in England and Wales is carried out within the legal framework and to keep the need for changes under review.

2.2 Mission, vision and values

The IPS mission, vision and strategic objectives contribute to the delivery of benefits for the UK citizen, as well as contributing to overall Home Office objectives.

In delivering its mission of "Safeguarding identity" IPS aims to be the trusted and preferred provider of identity services. The IPS core business activities are to issue passports and identity cards, to deliver the National Identity Service, to grow identity services, and to provide a modernised delivery of a system of registration of key life events such as birth, marriage and death. In doing so IPS will manage and balance the potentially significant tensions between protecting the public, delivering good public service and achieving real value for money.

These are underpinned by a set of core values that promote appropriate behaviours in staff at all levels of the organisation, the core values are: customer service, personal responsibility, valuing people, responding to change, working together.

SECTION 3
ROLES AND RESPONSIBILTIES

This section sets out the roles and responsibilities of Ministers and senior officials with direct accountability for IPS business.

3.1 Ministers

The Home Secretary holds overall responsibility for the business of the Home Office and its policies, including the allocation of Home Office resources to IPS. The Home Secretary has responsibility for:

- setting the strategic direction, objectives, key performance indicators and targets of IPS, taking account of Government-wide strategic objectives and interests;
- determining the policy framework within which IPS operates:
- approving the IPS Business Plan and resources;
- holding the Chief Executive to account for the performance of IPS and the delivery of its plans, objectives and targets;
- approving revisions to the Framework Agreement.

The Home Secretary may delegate his/her responsibilities as set out above to junior Ministers in the Department.

There will be at least one regular meeting each year between the Home Secretary or Parliamentary Under Secretary of State, Permanent Secretary and the Chief Executive to review the IPS strategy, performance and plans. Non-Executive Directors may also be invited to this meeting.

3.2 The Permanent Secretary

The Permanent Secretary is the Home Office's Principal Accounting Officer and is accountable to Parliament for the Department's overall effectiveness and delivery. In this capacity, the Permanent Secretary holds the Chief Executive to account for the efficiency and effectiveness of IPS management and operations.

The Permanent Secretary is the principal advisor to the Home Secretary on matters affecting the Department as a whole, including questions relating to the allocation of resources, expenditure and finance.

The Permanent Secretary acts as the Departmental Sponsor of IPS and as such is responsible for:

- advising the Home Secretary on the strategic direction of IPS in the context of wider Departmental or cross-governmental objectives;
- advising the Home Secretary on the allocation of resources to IPS, its key performance indicators and targets, and its Business Plan;
- setting the framework for strategic performance management and regularly reviewing IPS's performance and delivery;

- advising the Home Secretary on strategic performance information about IPS; and
- ensuring that IPS has the delegations and authorities necessary for effective delivery and continuous improvement.

The Permanent Secretary will appoint another member of the Home Office Board to act as Deputy Departmental Sponsor. The Departmental Sponsor and the Deputy are supported by a Sponsor Team and others based in the Home Office Strategic Centre and Professional Services. The Sponsor team will act in support of existing corporate relationships and processes rather than act as a conduit for them, and will work to minimise duplication and maximise effectiveness.

3.3 The Chief Executive and Registrar General

The Chief Executive of IPS has been appointed by HM The Queen as Registrar General on the advice of the Prime Minister. In his role as the Registrar General for England and Wales he has powers and duties that are independent of IPS and Government. All references to the post of Chief Executive reflect the additional duties and responsibilities that are attached to this historic post.

The Chief Executive is directly responsible for the management of IPS and is accountable to the Home Secretary for the performance of IPS. On a day-to-day basis this accountability will be exercised through the Minister with delegated responsibility. The Chief Executive is accountable to the Permanent Secretary of the Home Office for the effective and efficient delivery of the objectives and responsibilities assigned to IPS.

The Chief Executive is also the Director General for Identity Services and as such is responsible for Identity Management Policy for the Home Office.

The Chief Executive is responsible for:

a. advising the Home Secretary on current and future policy on safeguarding identity

b. for cross-government safeguarding identity strategy

c. developing an IPS strategy, including strategic performance targets which support the delivery of Home Office targets,

d. producing a Business Plan to implement agreed objectives and targets in line with allocated resources for consideration by the Home Office Board, and the Home Secretary;

e. ensuring sound finances (more detail on the Accounting Officer role is set out in Section 8.1);

f. alerting Home Office Ministers; the Home Office Board and those in other Government Departments, as appropriate, promptly to performance matters that may have a wider impact on the policy, operation or reputation of the respective Departments; and

g. building and improving the capability of IPS to perform effectively and efficiently against its objectives and targets, including ensuring robust processes and supporting performance management systems are in place.

h. implementing governance mechanisms for ensuring that customer needs are taken into account in the delivery of the IPS's business.

In addition, the Chief Executive will:

i. attend hearings of Parliamentary Committees and represent the Agency in the media, as required, on matters concerning the Agency; and

j. chair the IPS Management Board which will include Non-Executive Directors, appointed by the Chief Executive with the approval of the Permanent Secretary.

3.4 Home Office Board

The Home Office Board is the executive decision-making body for the Department. It supports the Permanent Secretary in carrying out his responsibilities, including his role as IPS Sponsor. The Chief Executive of IPS is a member of the Home Office Board. The Board's responsibilities are set out in the Home Office Departmental Framework.

The Home Office Board has particular responsibilities in respect of:

- ensuring the alignment of the IPS strategies and policies with the wider Departmental and Whitehall context;
- ensuring that the allocation of resources is in line with overall Departmental priorities, including assessing the strategic fit and deliverability of the IPS Business Plan;
- holding shared accountability for the overall performance of the Home Office;
- ensuring that major operational and reputational risks are dealt with appropriately;
- the development of capability across the Home Office;
- maintaining an effective framework of internal controls and corporate standards; and
- ensuring effective joint working between key staff across the Home Office, including those with responsibility for identity management.

The Board is supported by the Department's Strategic Centre, which is responsible for the efficient and effective co-ordination of objectives across individual business areas.

3.5 IPS Management Board

The IPS Management Board supports the Chief Executive in his role as Accounting Officer in all aspects of strategy development, performance monitoring and decision making. The IPS Management Board is responsible for advising the Chief Executive but also acting in a challenge and scrutiny role.

The IPS Management Board is constituted to provide a strong advisory role for the Chief Executive and will have a balance of membership between Executive and Non-Executive Directors. IPS Management Board members have full rights of access to Agency information, consistent with security clearances. The membership of the IPS Management Board is:

- the IPS Chief Executive is the Chair of the IPS Management Board;
- Executive Directors appointed by the Chief Executive as members of the IPS Management Board;
- Non-Executive Directors are appointed by the IPS Chief Executive in consultation with the Permanent Secretary to serve on the IPS Management Board and provide additional external perspective, challenge and support.

Members of the IPS Management Board may be called on to advise Ministers directly.

There will be a number of Non-Executive Directors appointed by the Chief Executive, in consultation with the Permanent Secretary. The role of the Non-Executive Directors will be to attend the IPS Management Board, support the relevant committees of the IPS Management Board and, if necessary, provide an independent challenge at IPS Management Board meetings. Non-Executive Directors have a right of access to discuss any issues or concerns with the Permanent Secretary or Minister.

The Permanent Secretary will regularly review the effectiveness of the Non-Executive Directors.

The primary role of the IPS Management Board is to advise the Chief Executive on:

- approving IPS delivery strategies, before submission for final approval to Ministers;
- approving IPS Corporate and Business Plans before the start of each financial year, before submission for final approval to Ministers;
- approving IPS annual budget, fee and funding proposals and any significant mid-year budget revisions before submission for approval to the Home Office and HM Treasury. The IPS Management Board will approve the budget before the start of the financial year and will receive quarterly financial reports covering spend against budget and relevant financial performance measures;
- monitoring delivery against IPS Business Plan targets;
- monitoring delivery against IPS Investment Programme and the delivery of its strategic programmes;
- monitoring delivery against the targets set in the IPS Financial Framework;
- assessing, as appropriate, proposals for IPS-wide bonuses taking into account the achievements against the targets set out in the Corporate and Business Plans;
- reviewing the arrangements for major procurement activities and contracts;
- providing assurance to the Accounting Officer - the IPS Management Board will receive the IPS Audit Committee's minutes. The Chair of the IPS Audit Committee will be asked to provide the IPS Management Board with a brief report on any key risks which could have a major impact on IPS.

The IPS Management Board is supported by such Committees as the IPS Management Board sees fit. These include but are not limited to: Audit, General Register Office, Data Governance, Service Delivery and the Finance Review Board. The Committees serve as advisory committees to the IPS Management Board and, in the case of the Service Delivery Committee, to the Executive Director responsible for Service Delivery.

The IPS Management Board has a particular role as the senior decision-making body within IPS. Decisions which will have a material influence on the financial position or operations of IPS will normally come to the IPS Management Board, often after having been previously discussed by a IPS Management Board Committee.

Many of the decisions relating to the National Identity Service have implications for multiple organisations including IPS, UKBA, FCO and DWP. These decisions are referred to the Scheme Management Board.

3.6 Scheme Management Board

The Scheme Management Board (SMB) is formed by representatives of the four key partners involved in the delivery of the National Identity Service (NIS); IPS, UK Border Agency, Foreign and Commonwealth Office and the Department for Work and Pensions. The role of the SMB is to monitor and scrutinise the delivery of the NIS, to provide a challenge function as required and to advise and support the Chief Executive of IPS, who is also the Senior Responsible Officer (SRO) for the NIS, on key decisions. The terms of reference for the SMB are also set out in the NIS Management Reference Guide.

The SMB has a particular role as the senior decision-making body for the NIS. Decisions which will have a material influence on the financial position or operations of the NIS will normally come to the Board, often after having been previously scrutinised by the relevant Programme Board or within the relevant partner organisation.

Many of the decisions being made by the SMB have a material impact on IPS. For this reason a number of IPS Executive Directors sit on the SMB, and there is also Non-Executive Director representation. Minutes of all SMB discussions are circulated to the IPS Management Board.

3.7 Audit Committee

The Audit Committee has oversight of all business assurance processes across IPS and advises the Chief Executive on the adequacy of audit and business assurance processes and the implications of assurances provided in respect of risk and control. The Committee receives the draft Annual Report and Accounts and the annual statement of internal control for approval, and advises on the appropriateness of accounting policy and practice. The Committee will provide the IPS Management Board with a summary of its meetings. The chair of the IPS Audit Committee is a member of the Home Office Audit Committee. If the IPS Audit Committee decides an issue brought before it has significance to the Home Office Group, the IPS Audit Committee Chair will escalate the matter to the Home Office Audit Committee.

3.8 GRO

The GRO Committee will provide oversight of the GRO business unit on behalf of the IPS Management Board, reporting to it on a monthly basis and escalating risks and issues as required.

3.9 Finance Review Board

The Finance Review Board (FRB) has been established by and derives its authority from the IPS Management Board. The FRB is split into two distinct parts, each with its own purpose and attendees. Part 1 provides detailed and in-depth consideration of financial aspects of the Scheme to deliver the National Identity Service. It has oversight of all monthly Scheme Finance reports, reviews financial matters escalated from other governance bodies, and makes recommendations to SMB for approval on the allocation of centrally held optimism bias and contingency, and all payments made to suppliers. Part 2 provides recommendations on investment proposals and priorities to the IPS Management Board for approval, having subjected them to rigorous financial scrutiny, and provides the IPS Management Board with assurance, at all times, on the affordability of IPS's and the General Register Office's (GRO's) current and projected expenditure plans.

3.10 Data Governance

The IPS Management Board has established a Data Governance Committee to give oversight of all data governance processes and responsibilities within IPS, the General Register Office (GRO)

and the IPS elements of the National Identity Scheme (NIS) and to advise the IPS Accounting Officer and Management Board on the adequacy of those processes and the implications of assurances received.

The role of the Committee is to ensure that IPS including GRO complies with Government and Home Office initiatives and Cabinet Office requirements on data assurance. It seeks to promote the development of information assurance and data governance to the highest level in support of identity management across Government for the benefit of all stakeholders.

The Committee will work with the Strategy; Operations; and Integrity Service, Planning and Delivery and Seurity Directorates to develop a common understanding of data issues and concerns. The Committee will send reports to the IPS Audit Committee on areas where data governance and information on risk management are likely to represent a business assurance issue.

3.11 Service Delivery Committee

The Service Delivery Committee is a Committee of the IPS Management Board and has been given the delegated authorities set out below. It is the sole tactical, cross-functional forum within IPS that focuses on today's passport business. As such it is empowered to advise the IPS Management Board on cross functional operational matters and make decisions on operational issues which do not require IPS Management Board discussion and approval. Its purpose is to advise and support the Executive Director, Service Planning & Delivery and the Executive Director, Operations in the following specific areas:

- ensuring the safe running of today's business across all functions with operational responsibility, whilst implementing change
- acting as a clearing house for cross-functional issues and decisions including proposals for new or changed policies that impact on day-to-day operations
- making decisions regarding service delivery activities and projects delegated to the Committee by the IPS Management Board
- managing day-to-day service delivery and business change issues and risks while escalating to the IPS Management Board any decisions and risks which are considered likely to have a significant impact on the operation, staff, customers or reputation of IPS
- providing input into and testing of key operational issues (e.g. leading and managing people and internal communications) prior to their discussion by the IPS Management Board
- ensuring the preparedness of Service Delivery for the future

SECTION 4

RELATIONSHIPS WITH KEY DELIVERY PARTNERS AND OTHER BODIES

4.1 Relations with Parliament and representative bodies

The Home Secretary is responsible to Parliament on all matters that relate to IPS. The Chief Executive will give advice and support to Ministers replying to Parliamentary Questions, Member's of Parliament (MPs) correspondence and debates.

Ministers will decide who should represent them at Home Affairs Select Committee hearings. Where a Committee's interest is in the day-to-day operations of IPS, Ministers will normally regard the Chief Executive as the appropriate individual to represent them or give evidence alongside them.

Members of Parliament will be encouraged to write directly to the Chief Executive about day-to-day operational matters. Ministers who receive letters on day-to-day matters will normally ask the Chief Executive to reply on their behalf. Where a Minister decides to reply personally, advice will be provided by IPS, who will consult with other relevant sections of the Home Office.

Official correspondence and other enquiries will be dealt with according to procedures set out in Cabinet Office guidance: "Ministerial Correspondence with Members of Parliament".

IPS will maintain good working relationships with members of devolved administrations. Correspondence and other enquiries will be dealt with as set out in "Memorandum of Understanding" and "Correspondence under Devolution" produced by the Cabinet Office.

IPS recognises the authority of the Parliamentary Commissioner for Administration.

4.2 Identity Commissioner

The National Identity Scheme Commissioner ("Identity Commissioner") is a public appointment, made by the Home Secretary.

The Identity Cards Act 2006 set out the functions of the Identity Commissioner. The responsibilities of the Identity Commissioner are to keep under review:

- the operation of the Identity Cards Act 2006 and any subordinate legislation
- the arrangements put in place for the purposes of fulfilling functions granted to the Home Secretary and designated documents authorities under the Identity Cards Act 2006 and the sub-ordinate legislation made under it
- the arrangements made by those people authorised to receive information from the National Identity Register (for example how information is used, what it is used for, how information is recorded)
- the uses to which identity cards are being put.

To fulfil the function of the office, the Identity Commissioner can request, from any official of the Home Office or IPS, information that he/she needs (including information on the operation of the National Identity Register). The Identity Commissioner will present his findings annually to

the Home Secretary who will lay them before Parliament.

All officials of the Home Office and IPS have the duty to provide the Identity Commissioner with all such information requested. The IPS Chief Executive, on behalf of the Home Secretary will ensure that all such information is provided to the Identity Commissioner. IPS is responsible for providing sponsorship, funding and support arrangements for the Identity Commissioner.

4.3 Relationship with key delivery partners

IPS will deliver identity and travel products and services working closely with its key delivery partners UK Border Agency (UKBA), Foreign and Commonwealth Office (FCO) and the Department for Work and Pensions (DWP).

The IPS Chief Executive will ensure that a close relationship is maintained with UKBA, FCO and DWP at all levels of the organisation.

IPS and its delivery partners will develop a Memorandum of Understanding which sets out the principles of the relationship and the individual responsibilities for delivery in the National Identity Service.

IPS and its delivery partners will focus on delivery of the National Identity Service and work in a collaborative and equitable way. The key principles that will govern the relationship between IPS and its delivery partners will include:

- Shared design vision: IPS and its delivery partners will establish and implement a shared design vision for the National Identity Service.
- Agreed performance standards: Performance standards will be jointly agreed between any areas that has process or system interfaces. These performance standards will be specific, measurable and will be reported on a regular basis through a shared mechanism.
- Common technological and security standards: IPS and its delivery partners will establish shared biometric, technological and security standards supporting the National Identity Service.
- Aligned and consistent fees: IPS and its delivery partners will ensure that there is an aligned and consistent fee strategy for similar products and services delivered by their organisations.

Relevant local authorities, known as the local registration service, in England and Wales are classed as key delivery partners for the work of the General Register Office (GRO). GRO will work with them at a national and local level to ensure effective working relationships exist and that the local authorities deliver a service that meets the requirements of the Registrar General.

4.4 Relationship with other government departments

IPS will also ensure that where needed there are appropriate governance procedures, consultation arrangements and service agreements in place with other government departments. IPS will ensure it maintains an effective relationship with other government departments who will access IPS services in the future.

IPS, through the GRO, will work closely with a number of other government departments on policy and legislation matters that have an impact on civil registration. GRO will help shape policy and ensure successful delivery through GRO and the local registration service.

SECTION 5
POLICY AND WORKING WITH MINISTERS

The responsibilities of Ministers and officials in respect of policy matters are set out in Section 3 above.

Ministers, the Home Office Board, the Chief Executive and IPS officials will work closely together to achieve the best balance of the following aims:

- providing a clear and stable policy framework within which the Chief Executive can exercise operational freedom to develop and deliver improved services; and
- ensuring that the policies underpinning the work of IPS reflect changing circumstances

The key principles underlying the relationship between Home Office Ministers and officials in relation to policy are based on the expectation that Ministers will:

- take and communicate clear and timely decisions based on evidence and accurate, or best available, data;
- ensure that decisions take account of resource constraints;
- focus on policy and outcomes, knowing that weaknesses in performance will be tackled effectively; and
- allow managers the freedom to deploy resources to achieve the policy objectives.

And the expectation that officials will:

- provide timely, accurate and clear advice, including on any resource implications, based on evidence and accurate or best available data;
- understand the political and wider context in which IPS works;
- ensure that Ministers are informed about risks and operational issues which might affect the strategy or reputation of the Department; and
- ensure that accountabilities for decisions are clear.

In addition, this Framework Agreement makes it clear that:

- The Permanent Secretary is responsible for advising Ministers on policy matters that impact on the whole Department;
- The Chief Executive will be responsible for advising Ministers and the Permanent Secretary on policy issues that relate to identity and civil registration matters. In so doing the Chief Executive will engage other members of the Home Office Board in so far as the issues impact on their responsibilities;
- The Chief Executive will take a lead role in supporting the Permanent Secretary and Ministers on the alignment of strategies relating to identity issues within the Home Office;
- Where necessary the Permanent Secretary may decide that other Board Members lead or be involved in particular issues which have cross-cutting significance. In all such cases the Chief Executive and relevant Board Members will work in partnership in advising Ministers;

- the Chief Executive and other members of the Home Office Board will work closely to ensure all advice to Ministers on potential changes safeguarding identity policy is consistent with wider Departmental and Governmental objectives and with wider EU and international obligations. They will also ensure that their staff collaborate closely on policy matters which have a cross-Departmental and/or cross-Governmental implications;

- there will be a lead individual in IPS with accountability for policy (except for civil registration) both to the Chief Executive and to the Home Office Board;

- there will be a lead official in IPS with accountability for civil registration policy to the Registrar General;

- key policy staff within IPS will participate in the cross-Departmental 'Strategic Policy Network' which aims to ensure that business area strategies are aligned with the Department's overall strategy; and

- if there is any doubt about whether a policy issue is of sufficient importance to refer to Ministers, then staff in IPS or the Department will consider whether the matter concerned has significant resource, strategic, reputational, cross-Home Office, cross-Governmental, or international implications. The key test will be whether Parliament or the public may have a clear interest in knowing. Staff will be guided by the Home Office values which include a commitment to "work openly and collaboratively" and to "treat everyone with respect" including in respect of the public who are IPS's most important stakeholder.

Ministers will remain responsible for all policy decisions. The IPS Chief Executive will provide advice to the Home Secretary through the Permanent Secretary on safeguarding identity policy, civil registration policy and on policy issues relating to the delivery of the National Identity Service. The Chief Executive shall:

- notify the Home Secretary and the Permanent Secretary, as soon as possible of any matters which arise with significant policy implications and seek instruction on their resolution;

- agree annually with the Home Office a programme of work on significant policy and legislative matters. Agree with the Home Office if such work is best undertaken within IPS or the parent department;

- include in IPS's regular performance reports to the Home Office any significant policy matters which have arisen as a consequence of operational activities.

PART II: CORPORATE PROCESSES AND FUNCTIONS

SECTION 6
GUIDING PRINCIPLES

This section sets out some guiding principles that govern decisions about the degree of autonomy that IPS should have and how staff in IPS and the wider Home Office should work together.

6.1 Freedoms and delegations

The relationship between IPS and the wider Home Office on freedoms and delegations is underpinned by the following key principles:

- the IPS should have sufficient autonomy to delivery its objectives efficiently and effectively;
- in exercising its freedoms IPS will give full regard to any implications for the wider Home Office, particularly in relation to efficiency, risk or reputation; and
- limits on IPS's freedom are only imposed where necessary to comply with wider corporate and Government interests and to ensure accountability.

The Department and IPS will work together in a spirit of openness and collaboration to ensure that these principles are optimised in practice and are mutually understood.

Both parties shall keep the arrangements under review in the light of changing circumstances. The Department will consult IPS prior to any changes in freedoms and delegations.

6.2 Working together

Staff in IPS and the wider Home Office will maintain strong working relationships through regular contact. Staff will:

- engage with each other in a spirit of openness and collaboration;
- work towards a mutual understanding of the key issues;
- be supportive of each other's objectives; and
- identify and work towards shared goals and objectives.

Home Office Headquarters will involve IPS in the development of standards and frameworks governing corporate functions or services and will consult IPS on any of the changes.

IPS and the Department will jointly consider the most effective way to develop and deliver new corporate policies and procedures to meet the operational needs of IPS and wider corporate requirements. Work on individual projects may be led by IPS or the Department in collaboration with the other.

SECTION 7
PLANNING AND PERFORMANCE

7.1 General

The IPS planning and performance management arrangements will:

- identify at a high level how IPS objectives will be achieved and the estimated cost of efficiently delivering them;
- contain performance targets and milestones that provide sufficient challenge to promote continuous improvement;
- adhere to delegated budgets and indicative allocations by the Department and be consistent with the resources allocated to IPS;
- ensure that senior officials within IPS are held to account for the delivery of particular objectives;
- ensure that consistent, accurate and timely information is available to Ministers and the Home Office Board to support effective planning, performance and risk management; and
- comply with the Department's policies and practices for the appraisal and approval of investments.

7.2 Planning

Each year IPS will produce a Business Plan to a timetable agreed with the Home Office. The Business Plan will integrate both the operational outputs and the supporting resources required to deliver the Plan. IPS will work with the teams supporting the Home Office Board to ensure consistency with the Department's overall objectives, planning process and timetable. IPS will engage the other Departments and agencies that are key delivery partners and share cross-Departmental targets and objectives.

The Business Plan will focus on the forthcoming financial year, and will also indicate provisional plans for the ensuing years, consistent with the Home Office's planning cycles and the Government's Spending Review process. The Business Plan will include:

- the IPS contribution to delivering PSA Delivery Agreement commitments, Departmental Strategic Objectives, agreed performance indicators and other relevant high level targets, or milestones, showing how these contribute to delivery of Home Office objectives and those of the Government more widely;
- the resource requirements for each main area of activity, explaining how those activities link to the meeting of IPS objectives and targets;
- IPS performance management framework including the governance and reporting arrangements;
- IPS approach to risk management and mitigation;
- IPS enabling objectives and values, including plans to improve the efficiency and effectiveness with which it discharges its responsibilities;

- information on the trends and assumptions on which the plan is based; and
- how IPS will interact with its stakeholders.

The Business Plan will be presented by the Chief Executive for consideration by the Home Secretary. The Permanent Secretary, supported by the Home Office Board, will advise the Home Secretary on the strategic fit and deliverability of the Business Plan. The Agency will ensure, in partnership with the relevant teams in Home Office headquarters, that the permanent Secretary has sufficient opportunity and support to fulfil this role.

The Business Plan may be changed during the period of its operation at the request of the Chief Executive, the Permanent Secretary or Ministers. Any such changes will be agreed by the Home Office Board and the Home Secretary.

7.3 Performance

The Chief Executive is accountable to Ministers and the Permanent Secretary for the performance of IPS and is responsible for ensuring that:

- IPS complies with the Department's performance management framework, including participation in the Department's Operating Reviews;
- Ministers, the Permanent Secretary and the Home Office Board have access to consistent, timely and accurate information on relevant aspects of IPS's performance, including any issues that raise significant risks for IPS or the Departments concerned;
- IPS has a robust and comprehensive internal performance management framework and supporting governance structure in place that reports up to the IPS Management Board;
- IPS reports its outturn performance against its Plan targets and budget in its Annual Report and Accounts and in the Home Office Departmental and Autumn Performance Reports as required;
- EU legal requirements and other statutory obligations are met.

SECTION 8
FINANCIAL ARRANGEMENTS

8.1 Financial Regime

The Permanent Secretary as Principal Accounting Officer for the Home Office will delegate day-to-day financial responsibility for IPS to the Chief Executive, who will in turn provide annual assurance to the Principal Accounting Officer as required by HM Treasury.

IPS will have autonomy in its budget delegations and financial management arrangements, subject to the need to keep within the terms of its overall budget delegations and to obtain Group Investment Board and HM Treasury approval where needed.

The Permanent Secretary will appoint the Chief Executive as IPS Accounting Officer. As such the Chief Executive is responsible for all IPS expenditure and income, and for ensuring that effective financial management systems are in place and maintained. In particular the Chief Executive will ensure that IPS:

- manages its finances in accordance with the Departmental Framework (which ensures that the Department as a whole can allocate its finances to achieve the best outcomes overall), and to ensure propriety, regularity and efficiency in public spending;
- maintains sound finances across both operational and programme functions within its allocated expenditure;
- maintains a sound system of internal control that supports achieving IPS's policies, aims and objectives, whilst safeguarding public funds and assets;
- optimises 'value for money' of spending through rigorous challenge to new and existing policies and programmes; and
- acts in support of all Government-wide programmes for the improvement of public spending, and complies with various governance and regulatory requirements set out in HM Treasury's budgeting, propriety and accounting related guidance; (including Managing Public Money (MPM); Consolidated Budgeting Guide (CBG) and Financial Reporting Manual (FReM); and
- Complies with the requirements in HM Treasury's 'Managing Public Money' which sets out the wider context of the Accounting Officer role and responsibilities.

IPS has responsibility for financial and management accounting and will provide information to the Department to agreed deadlines for consolidation in the Departmental Resource Accounts, and for planning, monitoring financial performance, and budgeting purposes. IPS should also share information with its delivery partners where appropriate.

In its relationship with IPS the Department will:

- work to support the delivery of IPS's objectives;
- take full account of the operational implications for IPS of any changes in financial delegations and processes;
- ensure that it represents to HM Treasury the impact of proposed HM Treasury requirements

on the operations of IPS;

- ensure a timely over-arching budgeting process;
- consult IPS prior to any changes in financial delegations; and
- provide all relevant information to enable IPS to comply with its financial responsibilities.

The Chief Executive will be granted end of financial year flexibility (EYF) to carry forward capital underspends for specific projects into the next financial year, where the Department itself has scope to do this, subject to normal scrutiny of need. If resource EYF becomes available to the Department, systems for allocating it will be discussed collectively.

8.2 Financial Delegations

The Permanent Secretary will issue annual financial allocations to IPS covering the forthcoming year and future years consistent with Spending Reviews. Within the overall IPS delegation, the Chief Executive may re-deploy resources between programmes.

The Chief Executive has the freedom to delegate budget and financial authority in writing to any named IPS staff.

Any new capital and policy programmes which will have a significant impact on IPS's financial position should be included within IPS's Business Plan and discussed with the Department in line with its overall priorities and affordability. Likewise, where tasks additional to those contained in IPS Business Plan are identified in-year, IPS will advise and consult the Department as soon as possible about the resource implications of these additional tasks.

In accordance with the delegation levels set by the Permanent Secretary, IPS policies, projects and programmes will be subject to the Office of Government Commerce (OGC) Gateway Review process and/or the Home Office Board and HM Treasury processes.

Where a direction is required to proceed with a course of action that the Chief Executive or the Permanent Secretary has advised against in their capacity as Accounting Officers, and pending any legislative changes, this direction will be sought by the Permanent Secretary from the Home Secretary.

8.3 Contractual Delegations

The Agency's procurement policies shall reflect Home Office policies, the Home Office Commercial and Procurement Policies and Procedures Manual, and the Home Office Departmental Commercial and Procurement Framework. The Agency shall also ensure that in respect of its procurement delegation it complies with its legal obligations including those under the European Union Procurement rules and other international agreements. For goods and services procured centrally by the Home Office on behalf of the Home Office and its Agencies, the Home Office remains responsible for ensuring that these obligations are met.

IPS and the Home Office Commercial Directorate will agree a suitable procurement delegation annually. This will be based on business needs, taking into account seniority, skills, experience and competence of procurement staff. The delegation will constitute a written Operating Level Agreement signed by both parties. He chief executive may delegate procurement and contractual authority to named IPS staff.

IPS will ensure that a robust commercial framework is in place to manage IPS's procurement structure through consultation with the Department, and it will work collaboratively with the

Home Office Commercial Directorate.

The Home Office Commercial Directorate has the right to carry out procurement audits and inspections. IPS will advise the Commercial Directorate of any novel or contentious procurement issues.

8.4 Annual Report and Accounts

The Chief Executive will prepare and publish each year an Annual Report and Accounts in accordance with the guidance and accounting policy set out by the Cabinet Office and HM Treasury. That report will be agreed with the Permanent Secretary before Ministerial clearance.

The report and accounts will set out IPS's performance related to the objectives, forecasts and targets published in that year's Business Plan. The accounts will be audited by the Comptroller and Auditor General, and will be published and laid before both Houses of Parliament.

8.5 Fees and charges

IPS costs will be recovered through a combination of charges and Home Office funding. The balance of this combination will be agreed with the Home Office on an annual basis and will be subject to HM Treasury agreement on any aspects of fees and charges policy as set out below.

Charges for identity cards, passports and associated services will be set in line with the Identity Cards Act 2006, the Consular Fees Act 1980 and HM Treasury Fees and Charges guidance. It is possible that the future charging strategy will contain elements of cross-subsidisation. Although legal authority for such cross-subsidisation is provided in the Identity Cards Act 2006, each instance where such power is to be used will require separate agreement by HM Treasury.

Fees will be set or amended as appropriate after approval of HM Treasury and through the passing of secondary legislation. Privy Council approval will continue to be sought for passport fees relating to under 16s.

Fees may be levied by the Registrar General in relation to a statutory function where he has been empowered by legislation to do so. The power to increase General Register Office fees was given to the Registrar General by the Public Expenditure and Receipts Act. This is done by introducing a negative resolution to the House of Commons with the approval of Ministers.

In accordance with HM Treasury fees and charges policy IPS will conduct an annual review of each of its fees.

8.6 Cross charging and fee setting arrangements with key delivery partners

The governance and financial relationships with other parts of Government will be reviewed during the lifetime of this agreement. There are likely to be shared services between IPS and the UK Border Agency which will require some financial (cost-allocation) relationship. The Framework Agreement will be revised to reflect any future changes in fees and charging arrangements.

IPS will be able to deliver services to private and public organisations on a commercial basis in accordance with Treasury guidance on selling services to the wider market. If IPS obtains services from or provides services to the Home Office or other government departments, then arrangements will be subject to service level agreements.

8.7 Inspection and audit arrangements

The Chief Executive is responsible for internal audit, consultancy, inspection and review arrangements within IPS. The Chief Executive will ensure that all arrangements comply with the standards and guidelines of the 'Government Internal Audit Standards'.

The IPS Head of Audit will report to the Chief Executive each year on the overall system of internal control, to support disclosure in the Statement on Internal Control. A summary of that report will be provided to the Home Office Chief Internal Auditor to inform his/her overall assurance report to the Home Office Principal Accounting Officer. Each year, the IPS Head of Internal Audit will agree a plan with the Audit Committee for all audit and assurance activities to be carried out in the year ahead.

IPS's Internal Auditors will work on behalf of IPS and any report produced will be given to the Chief Executive. The Home Office Audit and Assurance Unit will have right of access to IPS and the planning and reporting documents prepared by IPS's Internal Audit Unit. The IPS Head Of Internal Audit will alert the Home Office Chief Internal Auditor if concerns identified through his/her internal audit work could have a significant impact at Departmental level, in line with the protocol covering the provision of group level assurances and escalation of matters of concerns.

IPS shall arrange for a quality review of its internal audit, at least every 5 years, in accordance with Government Internal Audit Standards. The Home Office reserves a right of access to carry out independent reviews of IPS's Internal Audit Unit.

The Home Office will have a right of access to all IPS's records and personnel for purposes such as operational investigations. IPS's annual accounts will also be available for inspection by the Comptroller and Auditor General. IPS's external auditors are the National Audit Office. The NAO also has a legal right to carry out value for money (VFM) investigations into the economy, efficiency and effectiveness of IPS's operations.

Any major changes to IPS Internal Audit arrangements will be agreed with the Home Office Director of Finance.

8.8 Risk management

IPS is responsible for its risk management strategy. IPS will apply best practice to its risk management strategy which will be consistent with Home Office risk management policies. It will maintain robust contingency and business continuity plans for IPS and will review and test these plans on a regular basis.

Risk assessment and management processes and systems will be implemented by IPS. Managing risk will be a key responsibility for Executive Directors, with professional support and oversight being provided from a Risk Resilience and Safety team.

IPS Management Board will receive regular reports on risk management and will assess and respond to key strategic risks and mitigating actions.

8.9 Estate and asset management

IPS's headquarters are located in London. It has seven regional passport offices located in Belfast, Durham, Glasgow, Liverpool, London, Newport and Peterborough. It also has a national network of offices delivering application services.

The General Register Office is located in Southport.

Formal title to the property occupied by IPS is held by the Home Secretary. The Home Office acts as principal for most of these properties. During the life of this Agreement, the Home Office and IPS will review the arrangements for Estates Management.

IPS's Chief Executive has responsibility for defining the location, role and size of each office. The estate will be managed efficiently to reflect changing business needs and provide a healthy and safe environment for staff and customers.

Decisions about the location and size of the Estate will take into consideration the Home Office Estates Strategy and the principles of the Lyons Review. IPS will seek ministerial approval before making significant changes to the estate.

IPS is responsible for recording and maintaining an asset register. IPS will accurately record the value of its assets and account for them through depreciation and interest charges in the annual accounts.

SECTION 9
HUMAN RESOURCES

All permanent IPS employees are civil servants and members of the Home Office. All employees will be members of the Principal Civil Service Pension Scheme (PCSPS) unless they decide otherwise on a personal basis.

The Chief Executive is a civil servant, subject to the civil service code, and is responsible for ensuring that IPS can effectively deliver its business through its most valuable resource; its people.

The Chief Executive is responsible for all aspects of the management of all employees at all levels (including Senior Civil Servants) in IPS, and has the power to delegate responsibility (as appropriate) to relevant levels of management.

The Permanent Secretary appoints the Chief Executive, after open competition and in consultation with Ministers. Details of the Chief Executive's remuneration will be published in the IPS Annual Report and Accounts.

The Chief Executive is responsible for setting IPS's human resource policies. The Chief Executive has been given devolved responsibility for the number of staff, their distribution between offices and reward, grading and performance arrangements (subject to pay remit and delegations agreed with the Home Office and HM Treasury).

The Chief Executive has flexibility to establish human resource policies and workforce plans that reflect the business needs of IPS. The Chief Executive will ensure that human resource policies are consistent with wider Home Office and government policies, particularly those relating to cross-boundary working arrangements.

Pay, grading and supporting human resource functions for Senior Civil Service (SCS) grades remain the responsibility of the Home Office HR Directorate. This includes transactional HR activity and the provision of advice. However, IPS HR works closely with the Home Office HR team to provide as seamless a service as possible.

The IPS Chief Executive is responsible for reviewing the pay and performance of SCS staff within IPS. A performance matrix and supporting recommendations will be submitted to the Home Office Pay Committee for approval on an annual basis, in accordance with Cabinet Office guidance.

IPS SCS staff will also have access to the Home Office Leadership Development Programme.

The Chief Executive will have the power to delegate responsibility (as appropriate) for the management of discipline, attendance, performance, recruitment and other human resource issues relating to non SCS staff, to the relevant Agency Executive Director.

9.1 Staff mobility

Suitably qualified IPS staff are eligible for promotion and transfer within the Home Office and other government departments. IPS will also undertake its own recruitment programmes below SCS grades when necessary. The Chief Executive authorises Executive Directors to recruit staff, including casuals and fixed term appointments. Recruitment of all permanent and fixed term staff will be undertaken in an open and fair manner, in accordance with Cabinet Office guidance.

9.2 Learning and development

IPS is recognised as an Investor in People (IiP) organisation and it is committed to gaining re-recognition at suitable intervals. IPS will recognise and meet training and development needs for staff at all levels of the organisation to

- enable them to perform their duties to a high level
- promote their personal skills
- continue professional development
- enhance their job satisfaction and increase their employability.

9.3 Performance management and reward

IPS will provide a performance management service which aligns with current IPS and Home Office arrangements. This consists of setting clear and quantifiable objectives for every individual and then assessing performance based on evidence of achievement. All members of staff will be given the opportunity to discuss performance annually, with at least one interim review carried out in the year.

IPS is responsible for all elements of employee reward below SCS grade, subject to Home Office HR, IPS Finance, ministerial, HM Treasury and Cabinet Office agreement on the annual pay remit. This will incorporate basic and variable pay, including bonus services as appropriate.

IPS will ensure that there are effective arrangements to monitor the implementation of the pay remit.

9.4 Equality and diversity

IPS will create a working environment where diversity is recognised, valued and celebrated. IPS will engage fully with the diverse society in delivering its business. IPS will take care to assess the impact of our policies on race, gender, gender identity, disability, sexual orientation, religious belief and political opinion (in Northern Ireland) and age equality.

IPS is dedicated to promoting equality, fairness and respect for its entire staff. IPS's Race, Equality and Diversity policy will be consistent with the intent of Home Office policy.

9.5 Conditions of service

All Agency staff are members of the Home Office and are civil servants. IPS will conform to relevant national or departmental agreements affecting the terms and conditions under which staff are employed, unless Agency arrangements apply. All staff will be members of the Principal Civil Service Pension Service unless they decide otherwise on an individual basis. Staff will be advised about any changes to the Principal Civil Service Pension Service that may be made from time to time.

9.6 Conduct and grievance procedures

The Chief Executive will have the power, which may be delegated, to take action in cases of misconduct and inefficiency involving those staff members for whom IPS has personnel management responsibility. Agency staff are entitled to appeal to IPS HR Director against any such delegated decisions that affect them personally. The Chief Executive or his nominee will be responsible for responding to any appeals by staff to the Civil Service Appeals Board or

Employment Tribunal.

Any grievances lodged against the Chief Executive will be considered by the Home Office Director of HR and ultimately the Permanent Secretary.

9.7 Employee relations

The Chief Executive will make every effort to maintain good employee relations. IPS Chief Executive will maintain the Partnership Agreement with the Public and Commercial Services Union and the First Division Association to ensure a positive and effective working relationship. IPS accepts the legitimacy of the relevant unions as the effective representatives of their members. IPS will also operate a Whitley Committee to deal with any specific issues as necessary, from time to time. Any specific agreements negotiated at departmental level that apply to Home Office Agencies, will continue to apply in IPS. IPS will work jointly with the relevant trade union representatives on the strategies for achieving the objectives in this framework, in the context of working within the overall framework and policies set by Government. IPS, in consultation with trade union representatives, may modify these agreements to reflect IPS's needs and conditions.

9.8 Health and Safety

The Chief Executive will ensure IPS has appropriate health and safety policy and procedures in place and that managers are aware of and comply with the statutory requirement to safeguard the health and wellbeing of staff and customers.

SECTION 10

OTHER CORPORATE FUNCTIONS, SERVICES AND STANDARDS

IPS works with a range of Home Office corporate functions in addition to Finance and Human Resources. The arrangements have been designed to ensure consistency across the Home Office group and to promote value for money while delivering IPS's objectives. The guiding principles outlined in Section 6 apply.

10.1 Shared Services

The Home Office currently provides a range of Shared Services, including financial, procurement and HR processing (known collectively as Adelphi Services), property, IT and information Management. Service provision arrangements are agreed separately for each of these services: more information on these is set out in the sections below,

The general principles governing the provision of Shared Services are as follows:

- the Home Office Board will ensure as far as possible that Departmental Shared Services meet the needs of Home Office organisations such as executive agencies and non departmental public bodies;
- Home Office organisations will adhere to the principles set out in the Home Office Departmental Framework for Shared Services;
- Home Office organisations will participate in cross-Departmental arrangements for determining customer priorities and business needs, and for managing the delivery of services. The service provision management and governance arrangements will be developed in collaboration with Home Office organisations;
- Home Office organisations and Shared Services will develop two-way Service-Level Agreements (SLAs) and Memoranda of Understanding (MOUs), covering service provision and associated funding arrangements. They will also agree arrangements for the management of performance, escalation and the approach to dispute resolution. Such agreements shall have the same service standards for Home Office Headquarters and for Home Office organisations where it (i) makes business sense to do so and (ii) does not cause disproportionate costs;
- as set out in the Home Office Departmental Framework, all Home Office organisations will use Shared Services with any exceptions authorised by the Home Office Board. The case for divergence from Home Office strategy must be well set out (including an assessment of the impact on forecast efficiencies across the Department and existing programmes) before authorisation will be given to secure appropriate alternative provision; and
- in securing any corporate services independent of the Home Office Shared Services and the wider Home Office, Home Office organisations will consult Home Office HEADQUARTERS and Shared Services Directorate and give full regard to wider interests of the Department and the need to ensure compatibility, standardisation, efficiency of systems, the exploiting of existing assets and collective buying opportunities.

10.2 Information Technology

IPS will develop and operate its IT systems in a manner which conforms to the Home Office Information, Systems and Technology (IST) strategy. It will be represented on the Departmental Group IST Board, which oversees IST strategy, architecture, policies and standards and provides corporate IST direction.

IPS is responsible for:

- developing a good understanding of its business operating models and the IST capabilities that it requires to deliver against its business objectives;
- setting its own IST strategy, architecture and policies and standards;
- ensuring the above are aligned with the overall Home Office IST strategy, architecture and policies and standards;
- setting in place planning processes for business change programmes to deliver new IST capabilities within a coherent set of programmes;
- the specification and high-level design of the systems to implement its business; and
- making use of IT Shared Services in line with the Home Office strategy for Shared Services.

IPS's Chief Information Officer (CIO) function, will provide leadership for its IST responsibilities and will have a dotted line relationship with the Home Office CIO. IPS' CIO will represent IPS's interests on the Government's CIO Council and associated groups.

10.3 Information Management

IPS will manage its information in a manner which conforms to the Home Office Information, Systems and Technology strategy and with Departmental policies on information management, security, risk management and information assurance.

IPS currently manages its information management services directly, rather than through Home Office Shared Services, but works closely with the Home Office Information Management Service on areas of common interest, particularly to the latter's overall Departmental responsibilities for managing Freedom of Information and Data Protection requests.

10.4 Communications

IPS Communications and Engagement Strategy will be developed to complement the Home Office strategies. IPS will retain and develop its own communications capability to deliver its strategy. The press officers working on IPS issues will jointly report to the Home Office and IPS. IPS will continue to work in partnership with Home Office HEADQUARTERS to determine resource allocation and strategic marketing activity relating IPS activities.

IPS will work closely with the wider Home Office on internal and stakeholder communications strategy and activity.

10.5 Security

The Permanent Secretary has overall responsibility for security in the Home Office. The Chief Executive is accountable to the Permanent Secretary for all aspects of security related to the management of IPS.

The majority of the day to day oversight and assurance functions of security in the Home Office are delegated by the Permanent Secretary to the Home Office Departmental Security Officer (DSO). These functions include ensuring that the Home Office develops security policies and practices that are consistent with, and amplify as necessary, the overarching Government Security Policy Framework produced by the Cabinet Office.

A Home Office-wide security framework will be developed and will provide a comprehensive and robust range of risk mitigation measures for the protection of assets, information, people, reputational standing and the effective conduct of machinery of government activities. It will also define the responsibilities and accountability arrangements for Home Office executive agencies and provide guidance on risk transfer and risk ownership requirements. IPS will be consulted about this framework before it is introduced.

The Chief Executive is responsible for developing a robust and effective range of security measures in order to protect IPS people, premises, information and assets. These measures will be in line with the Home Office security framework. In order to facilitate the effective development, implementation and oversight of security policies and practices in IPS, the Chief Executive will nominate an official to provide a dedicated focus between IPS and the Home Office DSO. The responsibility for the day to day management of IPS security risk management activities (which includes information and reputational risks) will rest with the nominated IPS official.

The Home Office DSO will provide IPS with such advice and guidance as appropriate in order to reflect the wider needs of the Home Office, the levels of security compliance required and where additional supplementary security policies may be necessary. The Home Office DSO provides advice and guidance on all aspects of security within the Home Office for the physical security of buildings, vetting for all Home Office staff employees and the accreditation of all IT systems holding protectively marked material.

The Home Office DSO will make an annual security assessment of IPS and to report to the Permanent Secretary in order to provide an assurance that the broader Home Office security posture is adequate. This will be managed through the annual security audit process led by the Home Office DSO.

The Home Office Senior Information Risk Owner (SIRO) is responsible to the Permanent Secretary for information risk management). The Chief Executive is responsible for ensuring that measures are in place in IPS to meet emerging and operational level security and data handling issues. Where there is a risk that a compromise of information in IPS could have wider Home Office consequences, the Chief Executive must ensure the Home Office SIRO is informed immediately. The Chief Executive is responsible for the development of appropriate mechanisms in IPS for the management of official and personal information and, in particular, where that information carries a significant degree of risk (including reputational risk) should it be lost, stolen and/or otherwise compromised.

IPS has appointed a Senior Information Risk Owner (SIRO) whose delegated authority and responsibilities will be set out by the Departmental SIRO. The Departmental SIRO will act on behalf of IPS in dealings with the Cabinet Office and other central bodies on information risk and assurance.

The sole provision of all vetting services for IPS staff will rest with the Home Office Departmental Security Unit (DSU) Vetting Team, under the control and direction of the Home Office DSO. The Chief Executive is responsible for ensuring that only properly cleared and /or authorised people have access to IPS's buildings and assets.

On physical security, the Chief Executive is responsible for the development of risk management plans and procedures for the protection of IPS staff, buildings, documents and assets. Such arrangements will be implemented in accordance with security framework provisions and, where deemed, appropriate, in line with wider Home Office policy as directed by the Home Office DSO.

The Chief Executive is responsible for day to day management of information assurance (IA) activities in IPS. The Home Office DSO, through his Head of IA, will provide such oversight, advice and assurance as appropriate.

The Chief Executive is responsible for the development of comprehensive business continuity arrangements and plans for IPS. IPS's plans should take into account wider Home Office considerations, the feasibility of shared facilities, resources and processes to better manage adverse consequences, best practice transfer and the effective continuity of government business.

10.6 Research, Development and Statistics

Research and development work needed by IPS is carried out by a number of parties in addition to those that are fully controlled by IPS. These include Home Office Headquarters groups (in particular, at present, the Home Office Scientific Development Branch and the Economics and Resource Analysis Unit) and staff of Home Office Research, Development and Statistics (RDS) who are embedded in or seconded to IPS. RDS embedded/seconded staff report to a line manager in IPS but have a secondary line to the Home Office Chief Scientific Advisor (CSA), who has oversight on professional issues such as recruitment, deployment, promotion, training, quality standards and designation of Heads of Profession. The CSA has overall responsibility for science and research in the Home Office and is responsible for the development of a strategic Home Office science plan.

10.7 Better Regulation, Human Rights and Devolution

IPS will comply with the Government's commitment to efficient and effective regulation. This includes complying with: Better Regulation principles; the Government's Code of Practice on Consultation; producing Impact Assessments; and any subsequent Government guidance on Better Regulation. Where appropriate, IPS shall additionally abide by the principles set out in the Hampton Review - 'Reducing administrative burdens: effective inspection and enforcement' and any related guidance or requirements. IPS shall also have regard to the Devolution Settlements in relation to Scotland, Wales and Northern Ireland. IPS will uphold all of the UK's International and European Treaty obligations with respect to Equality and Human Rights."

10.8 Sustainability

IPS will work collaboratively with Central Home Office to achieve on its estate the Sustainable Operations on the Government Estate Targets and mandated actions (or the equivalent cross-Government sustainable development targets). IPS will supply data as requested by the Home Office in order to monitor progress against those targets and to facilitate the production of accurate and timely trajectories, which will demonstrate planned long term future reductions in consumption of energy and water and reductions in waste arising.

IPS will adhere to and actively support the Home Office sustainability policy statement and the Key Performance Indicators set for its facilities management contractors. Additionally IPS will at all times maintain a valid Sustainable Development Action Plan and will report progress against that Plan, meeting the criteria set by the Sustainable Development Commission.

IPS will participate in joint initiatives to raise awareness of the Home Office sustainability

commitments and will support and cooperate with the Department's carbon management programme and other services aimed at reducing environmental impact.

As a result of its SLAs and MOUs, IPS depends on the performance of Shared Services to meet certain of IPS responsibilities defined in this section.

10.9 Legal Advice

IPS will use Home Office Legal Advisers Branch for all legal advice on policy and legislation. IPS will use Treasury Solicitors for legal advice when handling formal challenges to IPS decisions and actions which may or will culminate in a judicial review, a compensation claim in a County Court or a tribunal. For advice on commercial matters IPS will use Legal Adviser's Branch and where appropriate commission advice from the retained firm of commercial solicitors.

SECTION 11

COMPLIANCE WITH LEGISLATION AND PROTECTING INDIVIDUAL RIGHTS

IPS will ensure that there are effective internal structures, mechanism and procedures in place to comply with existing legislation relevant to the operation of IPS. In particular:

- Freedom of Information (FOI) Act 2000: IPS will ensure there is a service in place that provides responses to public FOI requests and to the requirements of the Information Commissioner, in their role of monitoring compliance with the FOI Act.
- Data Protection Act 1998: IPS will ensure there are effective internal procedures in place to comply with the Data Protection Act, both in the provision of the National Identity Register (NIR) and verification and authentication services provided as part of the National Identity Service.
- Sex Discrimination Act 1975
- Human Rights Act 1998
- Race Relations Act 1976 and Race Relations Amendment Act 2000
- Disability Discrimination Act 1995.
- Identity Cards Act 2006

11.1 Protecting an individual's data on the NIR

The information that will be held about individuals by the National Identity Service on the National Identity Register (NIR) is limited by the Identity Cards Act 2006.

An individual will have the right to request access to the information in their record on the NIR, under the Data Protection Act 1998. The Chief Executive, on behalf of the Home Secretary has a duty under that Act to ensure that personal data is accurate and where necessary, kept up to date.

IPS will implement procedures to make the process of requesting subject access data on the NIR as easy as possible to the individual, while still ensuring that such access does not compromise the security of information held on the register. Individuals can refer any complaints about data held on the register to the Information Commissioner, under the Data Protection Act 1998.

Information from the NIR can only be provided to accredited organisations if specifically authorised by or under the powers in the Identity Cards Act 2006. The Identity Cards Act 2006 ensures that provision of information with and without consent of the individual will be properly regulated and subject to independent oversight by the National Identity Scheme Commissioner.

11.2 IPS complaints procedure

IPS will handle all complaints from customers relating to the operation and delivery of its services and meeting its service standards. A customer complaints policy, (consistent with Home Office complaints policy) and service standards will be regularly updated. The IPS and GRO complaints procedures are published on their respective websites. There will also be an Identity Commissioner complaints process published on the Identity Commissioner website.

11.3 Civil financial penalties

IPS will be responsible for the administration of a civil financial penalty regime as set out in the provision of the Identity Cards Act 2006.