



Home Office

# IDENTITY AND PASSPORT SERVICE FRAMEWORK AGREEMENT



# CONTENTS

<b>FOREWORD BY HOME OFFICE MINISTER FOR STATE (IMMIGRATION)</b>	<b>5</b>
<b>SECTION 1: INTRODUCTION</b>	<b>7</b>
1.1 THE IDENTITY AND PASSPORT SERVICE	7
1.2 THE FRAMEWORK AGREEMENT	7
<b>SECTION 2: PURPOSE AND PRINCIPLES</b>	<b>8</b>
<b>SECTION 3: ROLES AND RESPONSIBILITIES</b>	<b>9</b>
3.1 MINISTERS	9
3.2 THE PERMANENT SECRETARY	9
3.3 ROLE OF THE IPS SPONSOR	9
3.4 THE CHIEF EXECUTIVE AND REGISTRAR GENERAL FOR ENGLAND AND WALES	10
3.5 HOME OFFICE SUPERVISORY BOARD	11
3.6 IPS STEERING BOARD	11
<b>SECTION 4: RELATIONSHIPS WITH KEY DELIVERY PARTNERS AND OTHER BODIES</b>	<b>13</b>
4.1 RELATIONS WITH PARLIAMENT AND REPRESENTATIVE BODIES	13
4.2 RELATIONSHIP WITH KEY DELIVERY PARTNERS	13
4.3 RELATIONSHIP WITH OTHER GOVERNMENT DEPARTMENTS	13
<b>SECTION 5: POLICY</b>	<b>14</b>
5.1 GUIDING PRINCIPLES	14
<b>SECTION 6: GUIDING PRINCIPLES</b>	<b>15</b>
6.1 FREEDOMS AND DELEGATIONS	15
6.2 WORKING TOGETHER	15
6.3 IPS RELATIONSHIPS WITH HOME OFFICE CORPORATE FUNCTIONS	15
<b>SECTION 7: PLANNING AND PERFORMANCE</b>	<b>16</b>
7.1 GENERAL	16
7.2 PLANNING	16
7.3 PERFORMANCE	17
<b>SECTION 8: FINANCIAL ARRANGEMENTS</b>	<b>18</b>
8.1 FINANCIAL REGIME	18
8.2 FINANCIAL DELEGATIONS	19
8.3 PROCUREMENT DELEGATIONS	19
8.4 ANNUAL REPORT AND ACCOUNTS	20
8.5 FEES AND CHARGES	20
8.6 INSPECTION AND AUDIT ARRANGEMENTS	20
8.7 RISK MANAGEMENT	21
8.8 ESTATE AND ASSET MANAGEMENT	21
<b>SECTION 9: HUMAN RESOURCES</b>	<b>22</b>
9.1 STAFF MOBILITY	22
9.2 LEARNING AND DEVELOPMENT	23
9.3 PERFORMANCE MANAGEMENT AND REWARD	23
9.4 EQUALITY AND DIVERSITY	23
9.5 CONDITIONS OF SERVICE	23

9.6 CONDUCT AND GRIEVANCE PROCEDURES	23
9.7 EMPLOYEE RELATIONS	23
9.8 HEALTH AND SAFETY	24
<b>SECTION 10: OTHER CORPORATE FUNCTIONS, SERVICES AND STANDARDS</b>	<b>25</b>
10.1 SHARED SERVICES	25
10.2 INFORMATION & COMMUNICATIONS TECHNOLOGY	26
10.3 INFORMATION MANAGEMENT	26
10.4 COMMUNICATIONS	27
10.5 SECURITY AND INFORMATION ASSURANCE	27
10.6 RESEARCH, DEVELOPMENT AND STATISTICS	28
10.7 BETTER REGULATION, HUMAN RIGHTS AND DEVOLUTION	28
10.8 SUSTAINABILITY	29
10.9 LEGAL ADVICE	29
<b>SECTION 11: COMPLIANCE WITH LEGISLATION AND PROTECTING INDIVIDUAL RIGHTS</b>	<b>30</b>
11.1 IPS COMPLAINTS PROCEDURE	30

# FOREWORD BY HOME OFFICE MINISTER FOR STATE (IMMIGRATION)

The Identity and Passport Service operates as an Executive Agency of the Home Office and is responsible for administering civil registration in England and Wales and providing passport services to UK nationals.

The Home Office vision is to defend the country against terrorism, secure our borders and control immigration, and enable the police and local communities to step up the fight against crime and anti-social behaviour; this is underpinned by the IPS Purpose to provide accurate and secure records of key events and trusted passport services.

IPS continues to deliver excellent levels of customer satisfaction and has maintained its first place ranking for a public service by the UK Customer Satisfaction Index. At the same time, the organisation and structure within IPS is changing to reflect the priorities of the new government and it is working closely with Home Office Headquarters to ensure the best value for money for the taxpayer by integrating and sharing services where possible.

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 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 Purpose of providing accurate and secure records of key events and trusted passport services.

**DAMIAN GREEN MP**

# 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 01 April 2006 and from 01 April 2011 became responsible for the issuing of overseas passports. The transfer of the General Register Office (GRO) from the Office for National Statistics took place on 01 April 2008.

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

- provide passports and passport services in the UK and abroad; and
- carry out the statutory functions of the Registrar General for England & Wales.

Passports are issued under the Royal Prerogative. The final decision as to whether to issue or revoke a passport is undertaken by IPS staff, on behalf of the Home Secretary.

The Registrar General administers the marriage laws and secures the provision of an efficient and effective system for the civil registration of vital events in England and Wales, 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 Ministers, the Permanent Secretary, Home Office Supervisory Board, the Home Office IPS sponsor, IPS Chief Executive (including the Registrar General for England and Wales role) and the governance framework within 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 corporate 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 on the IPS website and placed in the libraries of both Houses of Parliament.

## SECTION 2

# PURPOSE AND PRINCIPLES

The Home Office will defend the country against terrorism, secure our borders and control immigration, and enable the police and local communities to step up the fight against crime and anti-social behaviour.

The Purpose of IPS is to provide accurate and secure records of key events and trusted passport services. 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;
- prevention of passport identity fraud; and
- registration of key life events such as birth, marriage and death.

The IPS Purpose and principles contribute to the delivery of benefits for the UK citizen, as well as contributing to overall Home Office objectives. IPS will deliver its Purpose by embedding the following principles:

- **Trusted and Secure** – IPS will maintain high standards of integrity and reliability across all products, services and data held
- **Customer Service** – IPS is proud of the service provided to customers and will deliver a modern and affordable service that meets the needs of today's society
- **Operational Focus** – IPS will create a more efficient and connected organisation with operational excellence at its core
- **People** – IPS will value the contribution of all its people, treat them with respect and support them through change
- **Cost** – IPS will deliver demonstrable value for fee-payers and reduce the burden on the taxpayer

# SECTION 3

## ROLES AND RESPONSIBILITIES

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

### 3.1 MINISTERS

The Home Secretary holds overall responsibility for 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; and
- approving revisions to the Framework Agreement.

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

### 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 will appoint a Director General to act as the Departmental Sponsor of IPS.

### 3.3 ROLE OF THE IPS SPONSOR

The sponsor 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 sponsor will line manage the Chief Executive of IPS and gather information about the performance of IPS from three sources:

- the IPS Chief Executive;
- the Home Office Sponsorship Director; and
- the Home Office Resources and Policy Unit.

### **3.4 THE CHIEF EXECUTIVE AND REGISTRAR GENERAL FOR ENGLAND AND WALES**

The Chief Executive of IPS has been appointed by HM The Queen as Registrar General on the advice of the Prime Minister. In their role as the Registrar General for England and Wales they have powers and duties that are independent of IPS and Government. These are to make regulations that govern the duties of registration officers and the registration process, to make available, free of charge, an index of registration records, and amongst other statutory functions, to issue certificates relating to entries identified in the index, on payment of the appropriate fee. Generally, 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 responsible for:

- a. developing an IPS strategy, including strategic performance targets which support the delivery of Home Office targets;
- b. producing a Business Plan to implement agreed objectives and targets in line with allocated resources for consideration by the Home Office Supervisory Board, and the Home Secretary;
- c. ensuring sound finances (more detail on the Accounting Officer role is set out in Section 8.1);
- d. alerting Home Office Ministers; the Home Office Supervisory 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;
- e. 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; and
- f. 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:

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

h. chair the IPS Steering Board and Executive Committee of which the former includes a Home Office Director nominated by the sponsor, and non-executive Directors, appointed by the Chief Executive in consultation with the Permanent Secretary.

### 3.5 HOME OFFICE SUPERVISORY BOARD

The Home Office Supervisory Board forms the collective strategic and operational leadership of the Department. Chaired by the Secretary of State, it focuses on strategy, performance, capability and delivery, including appropriate oversight of sponsored bodies. It is supported by an executive Management Board, chaired by the Permanent Secretary.

The main areas of responsibility of the Supervisory Board are:

- **Performance** - the Board agrees the business plan; monitors and steers performance against plan; scrutinises the performance of sponsored bodies; and sets the department's standards and values;
- **Strategy and Learning** - the Board sets the Department's vision; looks at long-term capability and horizon-scanning; and uses outside perspective to ensure that the Department is held to account for its outcomes;
- **Capability** - the Board ensures that the Department has the capability to deliver and to plan to meet current and future needs;
- **Risk** - the Board sets the Department's risk appetite and ensures that controls are in place to manage risk; and
- **Resources and Change** - the Board ensures sound financial management; scrutinises the allocation of financial and human resources; and signs off large projects or programmes.

The Board ensures that there are robust governance arrangements with each arm's length body's board and that it scrutinises performance of the Department's sponsored bodies on a regular basis.

### 3.6 IPS STEERING BOARD

The IPS Steering Board is the senior decision-making body within IPS, setting strategic direction, approving Business Plans and monitoring overall performance. Decisions which will have a material influence on the financial position or operations of IPS will normally come to the IPS Steering Board.

The Steering Board consists of the Chief Executive, Non-Executive Directors, a Home Office Director and the Executive Directors of Finance, Strategy and Operations.

The role of the Non-Executive Directors, in line with Treasury guidelines, is to attend the IPS Steering Board, support Audit Committees and provide an independent challenge. Non-Executive Directors have a right of access to discuss any issues or concerns with the Permanent Secretary or Minister.

Other IPS Executive Directors and Directors attend as and when required.

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

- setting the forward strategy and priorities, agreeing changes to current approach;
- reviewing performance issues;
- approving the IPS Business Plan before the start of each financial year, before submission for final approval to the Permanent Secretary and Ministers;
- approving the budget before the start of the financial year;
- approving the arrangements for major procurement activities and contracts; and
- approval of business cases for future programmes of work.

# 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, Members 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.

MPs 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 RELATIONSHIP WITH KEY DELIVERY PARTNERS

All local authorities in England and Wales are key delivery partners of the General Register Office (GRO). GRO works 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.

IPS is responsible for all passport services in the UK and from April 01 2011 will be responsible for the issuing of overseas passports. IPS works with a number of key and strategic commercial partners which support our operations and assist our customers. Our strategic suppliers deliver the core strategic products that IPS delivers to its customers. Key suppliers support IPS' strategic suppliers in providing the enabling services required to delivering IPS' business products.

### 4.3 RELATIONSHIP WITH OTHER GOVERNMENT DEPARTMENTS

IPS will work with other government departments at an operational level to enable it to discharge its responsibilities effectively and to ensure that their policy agendas are appropriately delivered through IPS where necessary.

# SECTION 5

## POLICY

Home Office Headquarters (HQ) will be responsible for strategic identity policy.

IPS will be responsible for operational policy and the delivery of services to meet the strategic policy agenda. IPS is currently charged with the delivery of passports and the provision of civil registration services.

Home Office HQ and IPS will work closely together to ensure the Home Office and wider government policy agenda is closely aligned to IPS' delivery of services.

### 5.1 GUIDING PRINCIPLES

Home Office HQ and IPS will work together, adopting a corporate, one department approach to further the objectives of the department and provide Ministers with unified advice.

Home Office HQ will develop strategic identity policy, including co-ordinating across the department and Whitehall where appropriate, working closely with IPS in the process.

IPS will adopt the most appropriate delivery model for any change in strategic policy agreed by the Home Office, working closely with Home Office HQ to ensure that delivery accurately reflects policy intentions.

The IPS Chief Executive has the right to independently advise Ministers if, in his/her view, Home Office policy proposals are unaffordable or operationally risky and undeliverable.

# 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:

- IPS should have sufficient autonomy to deliver 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 HQ will involve IPS in the development of standards and frameworks governing corporate functions or services and will consult IPS on any of the changes.

### 6.3 IPS RELATIONSHIPS WITH HOME OFFICE CORPORATE FUNCTIONS

IPS will maintain a bilateral relationship directly with the appropriate Home Office Finance, HR and other Corporate Service functions.

# 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 Supervisory 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 Home Office Headquarters. 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 Supervisory 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 and HM Treasury planning cycles and the Government's Spending Review process. The Business Plan will include:

- the IPS contribution to delivering the Home Office Corporate Plan, agreed performance indicators and other relevant high level targets, or milestones, showing how these contribute to delivery of Home Office priorities 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 priorities 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; and
- information on the trends and assumptions on which the plan is based.

The Business Plan will be presented by the Chief Executive for consideration by the Permanent Secretary. The Permanent Secretary, supported by the Home Office Supervisory 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 Supervisory 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 Supervisory 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 Team Meeting;
- 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; and
- 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 Home Office 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;
- 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 (FRM)); 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.

## 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.

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 Capital and Portfolio Management Board, Group Investment Board, Efficiency Reform Group (including the Government Property Unit) and HM Treasury approval where needed.

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 PROCUREMENT 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. The 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. The IPS Commercial Director also reports to the HO Commercial Director as

part of the Commercial Shared Services initiative. This is to ensure strategic alignment of procurement policy, management of strategic suppliers at an enterprise level to ensure VFM and overall consistency in approach to commercial work practices. The role of the HO Commercial Director is to ensure value for money, compliance with proprietary and regulatory conditions and contribute towards the savings requirements set out by the joint Treasury-Cabinet Efficiency and Reform Group.

#### **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 passports and associated services will be set in line with the Consular Fees Act 1980 and HM Treasury Fees and Charges guidance. Each instance where such power is proposed 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.

Fees may be levied by the Registrar General in relation to a statutory function where he/she has been empowered by legislation to do so. In accordance with HM Treasury fees and charges policy IPS will conduct an annual review of each of its fees.

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 provides or obtains services from the Home Office or other government departments, then arrangements will be subject to memorandum of understanding and service level agreements. The Registrar General cannot provide services on a commercial basis.

#### **8.6 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 Internal Audit within the Home Office Audit and Assurance Unit 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. Every six months, 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 that period.

IPS's dedicated team of Internal Auditors will work on behalf of IPS and any report produced will be given to the Chief Executive. 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 Home Office level assurances and escalation of matters of concerns.

The Home Office Audit and Assurance Unit will have right of access to IPS personnel and appropriate planning and reporting documents to undertake assurance work for the Home Office. 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.

## **8.7 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 Team Meeting will receive regular reports on Risk Management and will assess and respond to key strategic risks and mitigating actions.

## **8.8 ESTATE AND ASSET MANAGEMENT**

IPS's headquarters are located in Marsham Street, London. A national presence for passport services is achieved with Application Processing and Customer Service Networks located in Belfast, Durham, Glasgow, Liverpool, London, Newport and Peterborough. IPS also has a national network of offices delivering interview services. The General Register Office is located in Southport.

Formal title to the property occupied by IPS is held by the Secretary of State for Communities and Local Government. The Home Office acts however as principal for these properties.

IPS's Chief Executive has responsibility for defining the location, role and size of offices, and to maintain a property asset register. All Estates issues will comply with the Home Office Estates and Sustainable Development Strategies as well as Government Property Unit central property controls.

IPS will transition towards the use of Home Office Shared Services, provided by Home Office Property General (HOPG). HOPG will provide Facilities Management services for most of the IPS Estate, save for the interview office estate and Memorandum of Terms of Occupation where local supplier arrangements take precedence.

# 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 Registrar General is a 'corporation sole', appointed by HM the Queen, who is ultimately responsible for the administration of the civil registration service in England and Wales. He/she has a significant number of statutory functions, many of which are carried out on her behalf by officers working for the General Register Office.

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 implementing civil service employee 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 cross-government arrangements).

The Chief Executive will ensure that IPS workforce plans are consistent with wider Home Office and government policies, particularly those relating to cross-government employee policy.

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

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 the Civil Service Commissioners' recruitment principles and Cabinet Office guidance on the recruitment freeze.

## 9.2 LEARNING AND DEVELOPMENT

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

## 9.3 PERFORMANCE MANAGEMENT AND REWARD

IPS will provide a performance management service which aligns with current IPS and Home Office arrangements.

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 schemes 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 IPS 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.

## 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. IPS staff are entitled to appeal to the IPS HR Executive Director against any such delegated decisions that affect them personally. The Chief Executive or her nominee will be responsible for responding to any appeals by staff to an Employment Tribunal.

Any grievances lodged against the Chief Executive will be considered by the Home Office Director General of HR.

## 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, including its agencies and public bodies, 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, Legal, Internal Audit 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 Supervisory Board will ensure as far as possible that Departmental Shared Services meet the needs of Home Office organisations including its 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-Agency 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 Supervisory 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 & COMMUNICATIONS TECHNOLOGY

IPS will develop and operate its information and communications technology 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 (GIST) Board, which oversees IST strategy, architecture, policies and standards and provides corporate IST direction, and its subgroups as required.

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 business-specific elements of IST strategy to meet its business objectives, in accordance with the overall Home Office IST strategy, architecture and policies and standards;
- setting in place planning processes for business change programmes and projects to deliver new IST capabilities, in accordance with overall Home Office portfolio, assurance and approvals processes;
- ensuring that the high-level design and specification of IPS systems maximises the scope for, and delivers, progressive convergence with the Home Office infrastructure, systems and services; and
- making use of the Home Office IT shared service wherever possible, in line with the Home Office strategy for Shared Services.

The Home Office Chief Information Officer (CIO) will lead on relations with the Cabinet Office Efficiency and Reform Group (ERG) for all IT, Programme and Project management and Knowledge Information Management issues unless delegated authority for IPS to deal with ERG on a specific issue is agreed. IPS will contribute to Home Office reporting on its use of information and communications technology, led by the CIO, as required.

## 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 will appoint a Senior Information Risk Owner (SIRO) with responsibilities delegated by the Home Office SIRO for the overall appropriate handling of IPS information.

IPS will identify all its information assets and appoint an appropriate Information Asset Owner with personal responsibility for each asset. IPS will also ensure that all staff who handle sensitive data are trained in accordance with Home Office and Government requirements.

IPS currently manages its information management and access services directly and will make regular performance reports to the Information Management Operating Board (IMOB). IPS works closely with the Home Office Information Management Service on areas of common interest and is expected to become a full customer of the information management shared service.

## 10.4 COMMUNICATIONS

The IPS Communication strategy will complement the Home Office communication strategy. IPS will retain its own capability to deliver internal communication, external reputation management, partner engagement, product, services and channel management (including customer literature). Home Office press office will continue to see IPS submissions and provide media handling where necessary.

IPS will use the HO press office for all media engagement and the press officers working on IPS issues will report jointly to the Home Office and IPS. IPS will also call upon the newly created Home Office communications shared services to deliver digital communications, marketing campaigns, polling and print services where appropriate. These services will be accessed via a single point of contact in IPS and will operate under agreed SLAs.

## 10.5 SECURITY AND INFORMATION ASSURANCE

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 Senior Information Risk Owner (SIRO) and the 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.

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 Cabinet Office Security Policy Framework. In order to facilitate the effective development, implementation and oversight of security policies and practices in IPS, the Chief Executive will nominate a Senior Information Risk Owner to provide a dedicated focus between IPS and the Home Office. The responsibility for the day to day management of IPS security risk management activities (which includes information and reputational risks) will rest with a nominated IPS official.

The Home Office 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 SIRO 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 Information Assurance Maturity Model assessment process run through Cabinet Office.

The Home Office SIRO is responsible to the Permanent Secretary for information Risk Management. The Departmental SIRO will act on behalf of IPS in dealings with the Cabinet Office and other central bodies on information risk and assurance. IPS has appointed a SIRO whose delegated authority and responsibilities will be set out by the Home Office SIRO. 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.

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 their 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**

The Chief Scientific Adviser to the Home Office, has overall responsibility for the quality of the science conducted in the Home Office, including social science. IPS will seek social science support from Home Office Science. In addition, IPS can look to the Home Office Scientific Development Branch (the Centre for Applied Science & Technology from 1 April) for support on physical science issues.

## **10.7 BETTER REGULATION, HUMAN RIGHTS AND DEVOLUTION**

IPS will comply with the Government's new regulatory reform agenda to ensure that established Better Regulation principles continue to be implemented. This includes complying with the Government's Code of Practice on Consultation; publishing Impact Assessments, complying

with the one-in-one-out policy where required and any subsequent Government initiatives on regulation and consultation. 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 Home Office HQ to achieve on its estate the Greening Government Commitments (Operations and Procurement) and other mandated actions. IPS will supply data (including energy and water consumption, business travel, waste arisings and recycling rates and sustainable procurement) at a specified frequency as requested by the Home Office in order to monitor progress against the commitments and to facilitate the production of accurate and timely trajectories, which will demonstrate planned long term future improvements.

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 participate in the annual Departmental sustainability reporting process which will include:

- commentary of performance in the reporting year;
- overview of forward/future plans;
- table of financial and non-financial information;
- sustainability reporting on emissions; waste minimisation and management; and
- finite resources.

IPS will support and cooperate with joint initiatives to raise awareness of the Home Office sustainability commitments and will actively participate in the Carbon Reduction Commitment Energy Efficiency Scheme and the Government Carbon Offsetting Fund, 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 the responsibilities outlined above.

## **10.9 LEGAL ADVICE**

IPS will use Home Office Legal Advisers Branch (HOLAB) for all legal advice on policy, significant litigation and legislation. IPS will use Treasury Solicitors for litigation services 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.

# 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;
- Civil Registration: various primary and secondary legislation;
- Identity Cards Act 2006; and
- Identity Documents Act 2010.

### 11.1 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. Passport and Civil Registration complaints procedures are published on the IPS website.

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