Management Board Paper

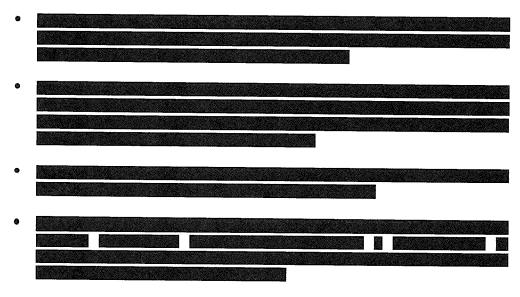
IMTP Update				
Paper Number:	MB			
MB Director:	[a director]	For	: decision X	
For discussion on:	June 2013		information	
Last discussed:	March 2013			
Corporate Risks addressed:	: Information Assurance			
	: Operational Compliance			
File reference:	IMTP:			
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Purpose of Pap	er (including decisions or	actions required):		
To present the initial analysis from the reset Information Management Transformation Programme (IMTP) showing a diagnosis of the information risks carried by the Security Service, and to seek endorsement of a proposed approach which includes:				
the Service is car	set of business change meas rrying and emphasise respor e highest priority risks;	sures designed to ad nsibilities for good pr	dress the IM risks that actice, including early	
	dual simplification of the exist period of 3 years; and	sting solu	tion to allow a phased	
3) Delivery through a 'thin programme layer', visibly sponsored by the Board and anchored in the business, commissioning projects which may be delivered by other programmes or [departments].				
Background				
IMTP in order organisation's ke in mid-April, and evidenced-based information mana of early intervent	1013 the Management Board to scope an alternative, in by information management of the report of diagnosis of the root-cause gement, together with a protions which would start to a the twithin the first year.	ncremental approach risks and priorities. I pack to this Manag ises of the problen posed programme o	MTP was re-launched ement Board with an ns with the Service's of work, including a set	
The Problem				
2. prev	ious MB papers have made	the need for signifi	cant improvements in	

Service IM, The Service continues to carry significant risk because of factors outlined in the 'root-cause analysis'

This analysis has been validated and a multitude of endorsed by the and the Information Board. [Senior stakeholder group] IMTP UPDATE: MB

practice a high enough priority. Impressive delivery of capabilities has not been matched with the delivery of the means by which to manage the relevant information effectively. [This has led to denegration in our record]
Whilst some areas than others, the overall picture is bleak.
4. Our central IM authority [a team] is under-resourced, and recent good progress notwithstanding, is still not sufficiently empowered.
Whilst there are pockets of good practice across the Service, not every business even has a specialist IM and records management function to support its work, consistent with the devolved IM model. Significant areas of policy and guidance are insufficiently developed and our staff are not provided with sufficient fit-for-purpose training to know what is expected of them. Furthermore, a whole generation of staff have joined the Service after we abandoned our paper filing system and do not necessarily have an understanding of what a structured records management system looks like.
5. Despite the recently re-formed Information Board, some governance and ownership issues in key IM areas remain unclear (), and too much of our technology development has not had fit-for-purpose IM functionality built in. This has led to a situation where staff are expected to use multiple systems
, we could not provide a reliable audit of
6. Perhaps most significantly, we now have a situation where there is no expectation of personal accountability for individuals' IM practices, and there is often no widespread monitoring or management information which allows managers to push for improvements in the most important risk areas.
How much risk do we carry in this area?
7. It can be argued that developments in Service search capability have mitigated some of the worst potential risks caused by these problems. However, there are plenty of anecdotes of problems

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8. Also, [redacted on the grounds of LPP], we are in the worst possible position on information discovery. [staff] searching for information on the systems they are given on their desktop may well fail to find key [information], largely because of our information handling model. However, any material we

have may well be found (after the event) on cases which involve legal action and our powerful disclosure process kicks in.

9. Despite our advances in will be caused by our lack of good IM practice. Given the heightened external scrutiny/oversight we will face in the future, and the effort we know it takes now to give an accurate and complete account of our actions,

, we need to address the **root causes** which prevent us from recording and managing our information in a better way. This issue has already caused significant reputational consequences for the Service with both the courts and the ISC. Continuing failure to improve (particularly as the volume and complexity of data we handle expands) will compound the damage in the future.

What can be done?

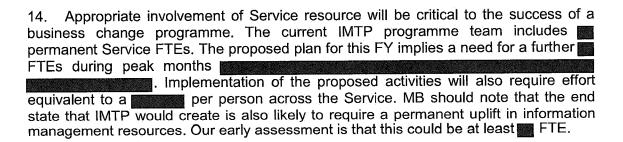
- 10. Put simply, we believe that the Service needs to embark on a major package of business change in order to address the issues outlined above. As requested by the MB in March, IMTP work done in preparation for this meeting has produced a proposed approach that includes interventions related to policy, governance, knowledge, skills, and culture as well as technology and security.
- 11. Overall, the programme is seeking to improve the integrity of our record, enhance our ability to discover our information, and increase confidence in the protection of the sensitive information we hold. Key elements of the programme include:
 - sorting out the remaining lack of clarity over governance;

Draft Vision Statement

'We manage our information well – we know what we know, we keep it secure, we record our decisions and we can account for everything we've done to keep the country safe'

producing a fit-for-purpose set of IM policies and working guidance;

- producing an agreed 'information architecture' which can be understood by systems designers to ensure that our IT systems work together to assist with compliance;
- bringing in effective measurements which allow managers at all levels of the Service a view of the information risks that the Service carries, ensures that their staff are recording and managing their information properly, and incentivises good behaviour;
- training staff on the basic concepts, as well as offering role-based training on what is expected of them in their current job;
- the introduction (over time) of personal accountability for IM behaviour which will eventually include sanctions for the worst examples of non-compliance;
- bolstering the authority of la teaml, making it a positive posting for talented and experienced staff from the core business to inform policy and risk assessment, as well as cultivating a healthy career stream which offers junior staff an attractive career and which can produce a sufficient cadre of IM and records management specialist practitioners for the future;
- introducing a decision making framework which allows us to balance discovery risk against security concerns,
- 12. A suite of interventions to mitigate priority risks in FY13/14 has been identified, although some further work is needed to explore the deliverability of some items (particularly the technology options). These interventions are outlined in the attached annex (slide 3). Although only the year 1 activities are currently planned in any detail, we anticipate that they will collectively deliver significant benefits in their own right. The work to derive the list of interventions has been the subject of wide consultation with [senior stakeholder group], and a strong consensus has emerged. We have a high degree of confidence that these are the right things to do, although changing IM behaviours in the Service will take time and require concerted effort which needs to extend beyond the first year.
- 13. [The paragraph explains the discussions that will be had between Cabinet Office and the Treasury should the Management Board endorse the proposed IMTP scope and approach]



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15.
IMTP related improvements to IT systems and business processes over time should make compliant behaviour possible with much less effort than is the case at the moment.
16. Improving the state of our IM and records will obviously improve our effectiveness and reduce risk. However, we are currently unable to quantify the undoubted subsequent efficiency benefits,
What about
17. If the IMTP vision is to be realised, the Service will need to reduce and then eliminate its dependency on [IMTP has already initiated a work-stream in [department] to mitigate the residual risks relating to [IMTP] availability over that period.
18. A dedicated work-stream will be established within IMTP from July to incrementally reduce the complexity of and dependence on and determine and assess options for staged migration off in about three years. This initial 8 week exploratory exercise was delayed until July to enable the lessons-learned activity and subsequent discussions with CO and HMT to be completed. The principles proposed in MB13/13 stand, and it remains the recommendation that this activity be advanced in stages, with strong business direction and engagement.
19. It is proposed that in order to ensure that the approach is set in the wider context of the information management agenda that IMTP retains oversight, with delivery leadership provided through . Given the likely cost of this element of work, there are obvious implications for the oversight and financial authorities that will be required for IMTP, as this approach will have a significant whole-life cost. The Management Board is asked to endorse this approach.
Implementation Approach
20. IMTP will not seek to establish a large delivery function. The role of IMTP will be to help prioritise and coordinate effective delivery through a "thin programme layer" using existing resources, supplemented by [staff] to help plan, design and manage changes, and produce the first business case where required. The Programme will commission and track work
from other parts of the Service.
We invite the Management Board to endorse
this delivery approach.
21. In addition to drawing on the experience of team members
IMTP has reviewed recent project and programme experiences to identify lessons learned including key areas that drive success or delivery challenges.
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22. IMTP has identified a set of strategic risks, augmented by an emerging view of the status of the programme tested against lessons learned paper. The Management Board are invited to consider our initial view of lessons learned and IMTP's mitigating actions (slide 9), as well as a view of the programme risk from informed by (slide 12).
Conditions for Success – A Major Shift in Attitude and Behaviour
23. In order to be successful, this programme needs strong visible leadership from the Board – a number of previous false dawns in IM has bred a high degree of scepticism (if not downright cynicism) amongst large sections of the Service (including many of those most closely involved). People don't believe that the Service considers IM to be important because of the lack of priority it has been given for resources and staffing over a number of years. Significant top management leadership will be required in order to change this perception, possibly reinforced by some organisational change. Management effort and commitment will also be needed from the top down in order to enact the business change within the Programme. Whilst strongly backed the proposed intervention approach, there was a sense in which they were looking for unequivocal endorsement from the MB before committing their own resources.
24. A major shift is required to convince people that IM is everyone's responsibility. A major cultural and behaviour transformation will be required to deliver all the programme's goals. The case for the programme will need to be made to the Service in terms of good IM practice being a mandatory part of the Service's functions to keep the UK safe. In order to maintain its credibility, the programme will need to be led from within the core business.
25. We will need to make the Information Management capability an influential and respected function
26. We seek MB endorsement for the proposed programme of measures in IMTP, including their commitment to giving the programme an appropriate priority ().

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