

SECRETARIAT MANAGEMENT GROUP

**FRIDAY, 4 OCTOBER 2013 AT 9.32AM
ROOM 106, PARLIAMENT BUILDINGS**

APPROVED

Present: Trevor Reaney
Simon Burrowes
John Stewart
Richard Stewart
Stephen Welch
Hugh Widdis

In Attendance Jim Beatty
Edmund Kelly
David Johnston
Brian Devlin
Conor Coughlin
Ken Eccles
Martina Dalton
Tony Logue
Robin Ramsey

1 Apologies

- 1.1 Gareth McGrath offered his apologies. Simon Burrowes deputised on Dr McGrath's behalf.

2 Declaration of Interests

- 2.1 No interests were declared.

3 Minutes of Previous Meeting/Matters Arising

- 3.1 The Minutes of the meeting of 12 September 2013 had been approved and published on 30 September 2013. SMG considered and agreed some minor factual amendments.

- 3.2 There were two matters arising:-

(a) Youth Assembly – John Stewart updated SMG on the outcome of a recent meeting on the subject. Further meetings are planned.

(b) SMG Minutes on Website – Directors considered recent Minutes with a view to publication on the external web page. It was agreed to proceed to publication.

4 SMG Action Points

- 4.1 The Action Points list was reviewed. Members were asked to advise Jim Beatty of further updates and amendments.

CORPORATE STRATEGY IMPLEMENTATION FRAMEWORK

5 Business Plans

- 5.1 The continuing progress was noted.

6 Strategic Work Strands

6.1 Business Efficiency Programme (BEP)

Eddie Kelly, BEP Team leader, joined the meeting at 9.43am and updated SMG on BEP progress. The Project Board meeting has been postponed to 11 October 2013 when a number of final reports along with a draft report for the Finance Office will be considered. The BEP team has reviewed its work and is drafting a report for the Project Board. The team has begun to consider records ownership and retention after it has concluded its work.

6.2 Institutional Review

Simon Burrowes said that the Assembly and Executive Review Committee was undertaking an inquiry into Petitions of Concern. It was also noted that the Committee on Procedures was continuing its inquiry on the participation of the Attorney General in the proceedings of the Assembly. The Chairpersons Liaison Group has approved the Committee Review Group report which will be debated in the Assembly in late October or early November 2013.

6.3 Organisational Development

Trevor Reaney is currently considering a draft Scoping Document which he would issue shortly to Directors for initial comment.

6.4 Organisational Redesign

Trevor Reaney said that the Project Board met last week and identified some issues to be raised with the Commission. Briefings with Directors, HoBs and TUS were continuing and an update would be issued to staff.

7 Implementation Updates

7.1 Co-ordination, Consultation, Communication and Engagement

Richard Stewart updated SMG on the recent Employee Relations Group meeting and noted that an Employee Relations Board meeting is planned for 17 October 2013.

Hugh Widdis joined the meeting at 9.50am.

7.2 Vacancy Management Group (VMG)

Richard Stewart said that the Group's future role was still under consideration. The issue of ongoing temporary promotions has to be decided.

7.3 Financial Management Group (FMG)

Richard Stewart said that the October Monitoring exercise had been completed with no surrenders/bids made.

7.4 IT Prioritisation Group

There were no issues to report.

LEGAL AND GOVERNANCE

8 Corporate Risk Register

8.1 David Johnston joined the meeting at 9.55am and briefed SMG on recent changes to the Risk Register.

8.2 Some minor changes had been made to the register and these were agreed by SMG. Hugh Widdis suggested some further changes to Risks 1,2 and 6 - these were discussed and agreed.

INFORMATION AND OUTREACH

9 Information Systems Strategy Update

- 9.1 Brian Devlin joined the meeting at 10.05am and assisted John Stewart in presenting this item.
- 9.2 A review of the Information Management Strategy (IMS) needs to be completed to allow related strategies and plans to be revised and updated in a number of areas and for priorities to be determined for the next four years within available resources.
- 9.3 Stephen Welch emphasised the need to communicate how the IMS and associated policies fit together and SMG discussed how best to do this. It was agreed that this would be done one step at a time and role-based training would be provided along with regular Postmaster notices which would inform staff of the links within the revised policies.
- 9.4 SMG highlighted the importance for individuals to recognise their personal responsibilities in this area.

10 Information Systems (IS) Security Policy

- 10.1 Brian Devlin said that as a result of the Internal Audit review of Information Security in 2012, the 2010 IS Security policy has been reviewed and the revised proposals were in the paper for consideration by SMG.
- 10.2 The policy has been updated to reflect changes since 2010 and sets out the basic security principles which will inform and direct the security procedures and controls required for the use of information technology within the Assembly.
- 10.3 A key proposal is the creation of an Information Security Group which was discussed in more detail within the next item.
- 10.4 SMG was also told that a member of staff from each office will be designated and trained as the Information Asset Owner (IAO) with responsibility for ensuring that all staff are aware of the security markings appropriate to the information, whether electronic or in hard copy. SMG acknowledged that every member of staff has a responsibility for correctly marking every document they create.
- 10.5 The Information Standards Officer will provide guidance as necessary and will meet at least twice a year with IAOs.

11 Information Security Group

- 11.1 John Stewart said that an Information Security Group has been set up following the audit of Information Security in 2012.
- 11.2 The purpose of this group is to provide clear direction, support and consideration for the management of security initiatives and information risk management in the NI Assembly.
- 11.3 The group has met twice and discussed and agreed Terms of Reference, membership and function. The group has agreed to meet quarterly (or at the request of SMG or following a major information security incident).

12 Data Breach Management Plan

- 12.1 Martina Dalton joined the meeting at 10.52am and assisted John Stewart in presenting this paper.
- 12.2 The plan will ensure a consistent and effective approach in the event of a data breach within the Assembly Secretariat and provides guidance for staff, contractors, consultants, data processors and other third party users. The plan is based on current guidance from the Information Commissioner's office on data security breach management.
- 12.3 Martina Dalton said that the plan details the procedures involved in reporting, investigating and notifying of a data breach and is overseen by the Senior Information Risk Owner (SIRO), with involvement from Information Asset Owners (IAOs) throughout the organisation. Details of this plan will be discussed in the IAOs training which is due to commence mid-October 2013.
- 12.4 Hugh Widdis asked that the plan take into account the response to matters that might also contravene the criminal law. It was also agreed that the plan needed to include potential consequences for staff responsible for a security breach. Subject to these matters, SMG approved the plan.

FACILITIES

13 Roof Project Update

- 13.1 Stephen Welch provided a verbal update on this issue.
- 13.2 Phase One work on the service yard is nearing completion although some work has to be done on drainage. Seven contractors are still involved within the roof contract tendering process and it is planned to

have one appointed by mid-December with work to start in January 2014. Simon Burrowes, as Chair of the Roof Support Group provided an update on decant planning.

- 13.3 It has been decided that all 125 staff on the fourth floor will move to allow unfettered access for the contractor and plans for the staff move have begun. Not all staff will relocate outside the building and an e-mail will be issued to Directors next week to assist in identifying all/any staff who could move out and available space within offices. A detailed plan will be completed by 8 November 2013 and presented to the Roof Project Board.
- 13.4 SMG acknowledged the complexity of the project and the need for everyone to co-operate fully with the team. Trevor Reaney will raise the issue of temporary relocation and accommodation in Parliament Buildings with Malcolm McKibbin, Head of the Civil Service and the issue will also be raised with the Commission in relation to Members and party accommodation.

ACTION: TREVOR REANEY

14 BCP Update

- 14.1 Ken Eccles and Conor Coughlin joined the meeting at 11.30am and assisted Stephen Welch in speaking to this paper.
- 14.2 In June 2012 PriceWaterHouse Coopers completed an audit of the Assembly's Business Continuity Plans and made a number of recommendations to increase the level of assurance. All but one of these recommendations have been implemented. The paper before SMG asked for sought views on three of the recommendations.
- 14.3 As an interim measure, arrangements for alternative accommodation have been in place with the Pavilion Complex in the Stormont Estate. Over the past months the Business Continuity Management System (BCMS) Team has been considering other locations as an alternative site and submitted four options to SMG as a first step to initially delivering Key Strategic Services in the event of an emergency. After discussion, SMG agreed to take options 3 and 4 to the Commission.
- 14.4. The BCMS Team also considered alternatives for a longer term solution in the event of a long term incident. This has proved difficult to locate and the Team suggested that the Clerk/DG should raise this issue with the Head of the Civil Service. This was agreed.

ACTION: TREVOR REANEY

- 14.5 At the meeting on 12 September 2013 SMG considered a draft IT Disaster Recovery Plan, part of which included four key

recommendations to improve the Assembly's resilience in the event of an incident. SMG reconsidered that plan and recommendations in light of the BCMS paper and agreed the recommendations.

- 14.6 Hugh Widdis pointed out that the follow-up audit from the Assembly's Internal Audit Unit (IAU) was yet to occur, and that IAU would facilitate Ken Eccles in terms of timing so as to provide assurance that recommendations had been implemented. This was agreed.
- 14.7 SMG agreed to take relevant issues to the Commission for consideration. Stephen Welch raised the need to identify appropriate resources for BCP in the future. It was agreed that this would be considered as part of the overall future resource planning.

CORPORATE SERVICES

15 Good Relations Monitoring Report

- 15.1 Tony Logue joined the meeting at 12.22am and spoke to this paper.
- 15.2 The Good Relations Action Plan spans a four year period (2012 – 2016) and this report provides an update in respect of the six months from March to September 2013. The report shows that only four out of the 54 actions are not yet completed.
- 15.3 SMG discussed the report and noted the good progress to date. It was agreed to refer the report to the Commission.

16 Gender Action Plan

- 16.1 In June 2013 the Clerk/DG asked a group of senior staff to look at how actual or perceived gender issues within the Assembly Secretariat might be examined and to consider what actions might be necessary. As a consequence of that review, the group drafted a paper for consideration by SMG.
- 16.2 SMG discussed the matter and a further paper would be brought to the next SMG meeting.

ACTION: TONY LOGUE

17 Future Commission/SMG Business

- 17.1 Robin Ramsey joined the meeting and assisted Tony Logue in presenting the agenda for the forthcoming Commission meeting. The agreed items are:-

- Business Continuity
- Clerk/DG's Update
- Digital First/Print Reduction Strategy
- Business Plans Quarterly Monitoring
- Affiliate membership of the National Conference of State Legislatures
- Developing links with Maryland General Assembly
- External Relations Strategy
- Review of Disability Action Plans
- Monitoring report of Good Relations Action Plans
- Flags Consultation

17.2 The Commission plans to meet on Wednesday, 23 October 2013.

ADDITIONAL BUSINESS

18 Directors' Updates

- 18.1 John Stewart said that a reception will be held in Parliament Buildings on 11 October 2013 for delegates at the OFMdfM investment conference. Visitors from the Kosovo Parliament will be in Parliament Buildings during the coming week.
- 18.2 Simon Burrowes said that following a BEP report, two posts have been suppressed in the Clerking and Reporting Directorate.
- 18.3 Hugh Widdis reported that the Secretariat Audit and Risk Committee had agreed in principle to IAU's involvement in an audit of the NI Assembly Legislative Strengthening Trust.

19 Items Cleared by Correspondence

- 19.1 The following item has been cleared by correspondence:-
- Report of the Working Group to review Hansard Archiving/Bound Volume Provision.

20 AOB

- 20.1 No matters were raised.

21 NEXT MEETING

- 21.1 The next meeting will be held on Thursday, 14 November 2013 at 9.30am in Room 106.

The meeting adjourned at 12.54pm.