

To: The Board

For meeting on: 28 May 2014

Agenda item: 9

Report by: Sigurd Reinton, Technology Assurance Committee Chair

Report for: Information

TITLE: **Report of the Technology Assurance Committee meeting on 13 May 2014**

Summary:

This report provides the Board with an update on the key issues considered by the Technology Assurance Committee (TAC) at its meeting on Tuesday 13 May 2014. The minutes of the meeting are attached at Annex A to this report, the amended Terms of Reference considered by the Committee are attached Annex B to this report.

Recommendation:

The Board is asked to note the report and provide any comments.

Public Sector Equality Duty

Monitor has a duty under the Equality Act 2010 to have due regard to the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations between people from different groups. In relation to the issues set out in this paper, consideration has been given to the impact that the recommendations might have on these requirements and on the nine protected groups identified by the Act (age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, gender and sexual orientation).

As it is for information, it is anticipated that none of the recommendations of this paper will have an impact upon the requirements of or the protected groups identified by the Equality Act.

Exempt information:

None of this report is exempt under the Freedom of Information Act 2000.

Background

1. The Chair of TAC is required to report on its work to the Board after every meeting of the Committee. This report highlights the key issues considered by the Committee. The minutes of the meeting are attached at Annex A to this report.

Issues

Terms of Reference

2. As it was the first meeting of the TAC, the Committee looked at its Terms of Reference and proposed workplan. A small number of proposed amendments have been proposed to highlight the Committee's role in relation to the Executive Committee as well as the Board. The updated Terms of Reference are attached as Annex B to this report.

Information Strategy

3. The Committee was set up to provide assurance regarding key decisions on Monitor's information and IT strategies. TAC members have been closely involved in the iterative process of developing the information strategy and confirmed at this meeting that they were content to advise the Executive Committee and the Board that the proposed strategy is appropriate for Monitor. This was subject to further work being completed in a number of areas, though. These areas included, in particular, the need for the development of processes and a culture of shared responsibility for the successful implementation of the strategy between clients/users and providers. It was also felt that further work was needed on developing the roadmap and timescales associated with the strategy, and on developing a clear information sourcing strategy.
4. The Committee considered the relationship between Monitor and the Health and Social Care Information Centre. This is a key relationship for Monitor in terms of its data collection and will require ongoing attention.

Sigurd Reinton
TAC Chair

ANNEX A

**MINUTES OF A MEETING OF THE MONITOR TECHNOLOGY ASSURANCE COMMITTEE
HELD ON 13 MAY 2014 AT 3pm
AT WELLINGTON HOUSE, 133-155 WATERLOO ROAD, LONDON SE1 8UG**

Present:

Sigurd Reinton, Technology Assurance Committee (TAC) Chair, Non Executive Director
Stuart Jobbins, TAC Independent Member
Paul Willer, TAC Independent Member
Ted Woodhouse, TAC Independent Member

In attendance:

Graham Binns, Enterprise Architect
Philippa Harding, Board Secretary
Adrian Masters, Managing Director of Sector Development (until 4pm)
Chris Stirling, Information Strategy Consultant
Neil Stutchbury, Knowledge Management Director

Executive officers attended the meeting as detailed under specific agenda items below.

1. Welcome and apologies

- 1.1 Apologies for absence had been received from Joan Hanham (Chairman of the Board) and Stephen Hay (Managing Director of Provider Regulation).

2. Declarations of interest

- 2.1 No interests were declared.

3. Terms of Reference and Forward Agenda Planning (TAC/14/01)

- 3.1 The TAC considered the report which presented the Committee with its Terms of Reference and proposed workplan.
- 3.2 It was noted that the Committee's Terms of Reference remained as they had been agreed by the Board in September 2013, subject to a number of minor drafting amendments to reflect the Committee's role in relation to the Executive Committee as well as the Board. TAC members confirmed that they were content with the proposed changes.

4. Monitor's Information Strategy (TAC/14/02)

- 4.1 TAC members considered the report which provided them with an update on Monitor's proposed information strategy. The TAC had been consulted on the proposed strategy at an informal workshop in April 2014 and in subsequent meetings with individual TAC members. A number of issues had been raised in these meetings which had either been addressed or were in the process of being addressed and the TAC was provided with tabled information to this effect. The TAC was therefore asked whether it was content that the information strategy was ready to be taken to the Executive Committee and the Board for approval.
- 4.2 TAC members confirmed that they considered that the information strategy was generally appropriate for Monitor. It was noted that the nature of the strategy and the environment within which it was to be deployed was such that it would require regular review. A number of potential risks were identified in relation to the implementation of the strategy. In particular, TAC members emphasised the importance of ensuring that the appropriate culture and processes were in place to ensure that the right levels of resources and ownership were allocated to the implementation of the strategy across the organisation. This included programme and relationship management to ensure shared responsibility between clients/users and providers of information services for the successful implementation of the strategy, rather than all expectations being focussed on the Knowledge and Information Management team. It was noted that, as parts of the organisation, such as the Pricing function, were still developing, there were opportunities for functions to lead by example with regard to the facilitation of the partnership working and responsibility sharing envisaged by the TAC. In considering these cultural and process issues, the TAC also noted the potential implications of the information strategy for Monitor's organisational design and transformation processes. The value of an integrated change programme was emphasised.
- 4.3 TAC members noted that a very significant part of the data Monitor needed was – and would continue to be – received from the Health and Social Care Information Centre (HSCIC). TAC members explored the implications of this and the manner in which Monitor received this data. The importance of ensuring a strong and efficient relationship between Monitor and the HSCIC was emphasised. TAC members also explored the relationship between Monitor and NHS England and the NHS Trust Development Authority. It was envisaged that strong relationships with these bodies would ensure that Monitor had the opportunities that it required to exploit the information that it had access to, without creating extra burdens on those it regulated. The TAC was informed that work was being undertaken to identify the information that was critical for Monitor and exactly where it could be obtained from. It was considered that an information sourcing strategy would be needed alongside the information strategy when it was presented to the Executive Committee and the Board for approval.

RESOLVED:

- 4.4 The TAC resolved to recommend to the Executive Committee and the Board that:
- a) The proposed information strategy and vision appeared to be appropriate for Monitor;
 - b) Whilst the programme structure appeared generally to be appropriate, further work was required in this regard;
 - c) Further work was required with regard to the development of the roadmap and timescales identified within the information strategy; and
 - d) The approaches to key issues and dependencies within the information strategy appeared to be appropriate.

5. Other business

5.1 TAC members were provided with an oral update on the visit being arranged for them to the HSCIC.

Close

ANNEX B

TECHNOLOGY ASSURANCE COMMITTEE (TAC) TERMS OF REFERENCE

1. Purpose

- 1.1. The purpose of the TAC is to support Monitor's Board and Executive Committee (ExCo) by providing independent assurance on Monitor's information strategy and associated project proposals. On the basis of the information provided to it, the Committee will provide assurance to the Board and ExCo on key decisions or recommendations which have critical strategic significance or would materially impact risk.

2. Membership

- 2.1. The TAC shall comprise up to five members. Members of the TAC shall be appointed by the Board, in consultation with the Chief Executive and the Audit and Risk Committee.
- 2.2. A member of the Audit and Risk Committee shall act as the Chair of the TAC. At least two members of the Committee shall be independent of Monitor and have recent and relevant information technology experience. The TAC should also be attended by an executive member of the Monitor Board.
- 2.3. Only members of the TAC have the right to attend TAC meetings. Other individuals, such as the Chairman of the Board, the Managing Director of Sector Development, the Managing Director of Provider Regulation and the Knowledge Management Director may be invited to attend all or part of any meeting as and when appropriate and necessary.
- 2.4. Appointments to the TAC shall be for a period of up to two years, which may be extended for further periods of up to two years, provided the individual still meets the criteria for membership of the TAC.

3. Secretary

- 3.1. The Board Secretary or their nominee shall act as the secretary of the Committee.

4. Quorum

- 4.1. The quorum necessary for the transaction of business shall be three members. A duly convened meeting of the TAC at which a quorum is present shall be competent to exercise all or any of the authorities, powers and discretions vested in, or exercisable, by the TAC.

5. Frequency of Meetings

- 5.1. The TAC shall meet at least four times a year at appropriate times in the reporting and audit cycle and otherwise as required.

6. Notice of Meetings

- 6.1. Meetings of the TAC shall be called by the secretary of the TAC at the request of any of its members, if they consider it necessary.
- 6.2. Unless otherwise agreed, notice of each meeting confirming the venue, time and date together with an agenda of items to be discussed, shall be circulated to each member of the TAC, any other person required to attend and all other non-executive directors, no later than five working days before the date of the meeting. Supporting papers shall be sent to TAC members and to other attendees as appropriate, at the same time.

7. Minutes of Meetings

- 7.1. The secretary shall minute the proceedings and decisions of all meetings of the Committee, including recording the names of those present and in attendance.
- 7.2. Draft minutes of the TAC meetings shall be circulated promptly to all members of the TAC. Once approved, minutes should be circulated to all members of the Board, unless it would be inappropriate to do so.

8. Conduct of Meetings

- 8.1. Except as outlined above, meetings for the TAC shall be conducted in accordance with the relevant provisions of Monitor's Rules of Procedure.

9. Duties

- 9.1. The TAC should carry out the duties below:
- 9.1.1. oversee the programme of work to deliver Monitor's Information and IT strategy and assure the Audit and Risk Committee and Board that it is on track and meeting its objectives
 - 9.1.2. test specific project proposals and strategy recommendations and provide assurance on major technology decisions taken
 - 9.1.3. oversee the resourcing and sourcing arrangements and provide assurance that Monitor has the appropriate complement of internal skills and experience and access to the required external service partners
 - 9.1.4. assure the Board that the Information and IT strategy is aligned to Monitor's business strategy and annual plans
 - 9.1.5. assure the Board that risks associated with the Information and IT strategy are appropriately managed and mitigated.

10. Reporting Responsibilities

- 10.1. The TAC's chair shall report formally in writing to the Board on its proceedings after each meeting on all matters within its duties and responsibilities.

10.2. The TAC shall make whatever recommendations to the Board and the ExCo it deems appropriate on any area within its remit where action or improvement is needed.

11. Other matters

11.1. The TAC shall:

- 11.1.1. have access to sufficient resources in order to carry out its duties, including access to the Board Secretary for assistance as required;
- 11.1.2. be provided with appropriate and timely training, both in the form of an induction programme for new members and on an ongoing basis for all members;
- 11.1.3. give due consideration to relevant legislation, Treasury guidance and other corporate governance best practice as appropriate;
- 11.1.4. oversee any instigation of activities which are within its terms of reference;
- 11.1.5. consider any other matters where requested to do so by the ExCo, the Audit and Risk Committee or the Board.

12. Authority

12.1. The TAC is authorised:

- 12.1.1. to seek any information it requires from any employee of Monitor in order to perform its duties;
- 12.1.2. to obtain, at Monitor's expense, outside legal or other professional advice on any matter within its terms of reference (subject to budgets agreed by the Board); and
- 12.1.3. to call any of Monitor's employees to be questioned at a meeting of the TAC as and when required.

May 2014