

To: The Board

For meeting on: 25 February 2015

Agenda item: 11

Report by: Sigurd Reinton, Technology Assurance Committee Chair

Report on: Report of the Technology Assurance Committee meeting on
12 February 2015

Background:

The Chair of Technology Assurance Committee (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 the Annex A to this report and the Terms of Reference considered by the Committee are attached at Annex B.

Issues:

Review of the operation of the Technology Assurance Committee and its Terms of Reference

1. TAC members discussed the findings of the review of the TAC's operation that had been undertaken at the beginning of 2015.
2. The TAC emphasised the importance of ensuring that sufficient consideration was given to each of its duties, as set out in its ToR. As such, a standing agenda item will be developed to provide the TAC with information with regard to Monitor's progress against each of the Committee's five main duties. Further support will be provided to TAC members to enable them to develop a better understanding of working practices within the Knowledge and Information Management (KIM) team.
3. Subject to these comments, the TAC confirmed it was content that its ToR remained fit for purpose and did not require amendment. Board members are invited to review and comment on this.

Governance, Risk and KIM operational processes

4. TAC members reviewed the key activities and processes that were currently being developed by the KIM team and proposals for its future roadmap. Further detail on the processes that are currently in place will be submitted to a subsequent meeting of the TAC.

Information Governance – Internal Audit Review

5. The TAC discussed the recommendations of the Information Governance audit that had recently been conducted by PwC on behalf of Monitor as well as the KIM team's management responses.
6. TAC members considered that the appointment of a Senior Information Risk Owner (SIRO) would provide clear accountability and direction for Monitor's information governance strategy and further thought was given to the scope for the role. Given that the Chief Executive would appoint the SIRO, it was proposed that a briefing note should be drafted to provide him with appropriately detailed information to inform his decision.

Health and Social Care Information Centre Update and Strategic Roadmap Options

7. The TAC received an update on progress in relation to Monitor's relationship with the Health and Social Care Information Centre (HSCIC) and recommendations for next steps. Further opportunities for engagement with the HSCIC will be sought and a strategic roadmap for progressing Monitor's relationship with it will be presented to the TAC at its next meeting.

Sigurd Reinton
TAC Chair

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.

**MINUTES OF A MEETING OF THE MONITOR TECHNOLOGY ASSURANCE
COMMITTEE HELD ON 12 FEBRUARY 2015 AT 11AM
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:

Derek Cox, Head of Governance and Assurance (KIM)
Philippa Harding, Board Secretary
Stephen Hay, Managing Director of Provider Regulation
Adrian Masters, Managing Director of Sector Development
Peter Sinden, Chief Information Officer
Neil Stutchbury, Director of Business Engagement (KIM)
Rebecca Threlfall, Committee Secretary

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).

2. Declarations of interest

2.1 No interests were declared.

**3. Minutes and matters arising from the meeting held on 8 January 2015
(TAC/15/04)**

3.1 The minutes of the meeting of the Technology Assurance Committee (TAC) on 8 January 2015 were approved and the matters arising were noted.

4. Review of the operation of the Technology Assurance Committee and its Terms of Reference (TAC/15/05)

- 4.1 Philippa Harding presented the report, which set out the findings of the review of the TAC's operation that had been undertaken at the beginning of 2015. No drafting amendments were proposed to the Committee's Terms of Reference (ToR) as a result of this review.
- 4.2 Consideration was given to the remit of the Committee and its role in reporting to the Executive Committee (ExCo) as well as the Board. TAC members considered it vital that the Board should be apprised of any recommendations made by the TAC to the ExCo. It was anticipated that this would be via the regular report of the Committee to the Board. It was proposed that the Chief Information Officer (CIO) should support the TAC's chair in reporting on the Committee's deliberations at Board meetings. As the CIO was required to be in attendance at all Board meetings, TAC members were content not to propose amendments to the ToR on this point.
- 4.3 The TAC emphasised the importance of ensuring that sufficient consideration was given to each of its duties, as set out in its ToR. Given that the TAC was an advisory committee and did not have decision making authority, it did not require a formal action log to track the actions arising at its meetings. However, it was proposed that a standing agenda item should be developed to provide the TAC with information with regard to Monitor's progress against each of the Committee's five main duties. Furthermore it was suggested that support should be provided to TAC members to enable them to develop a better understanding of working practices within the Knowledge and Information Management team.

ACTION: PS

- 4.4 Subject to the comments above, the TAC confirmed it was content with the proposed changes to its ToR and its proposed work programme.

5. Governance, Risk and KIM operational processes (TAC/15/06)

- 5.1 Peter Sinden presented the report which identified the key activities and processes that were currently being developed by the KIM team and provided an outline of its future roadmap.
- 5.2 Given the pace of change that was currently taking place across the KIM team, the TAC discussed the progress that had been made with respect to developing a 'high performing' performance management approach that would enable these changes to be delivered effectively. Further detail on the processes that were currently in place (an organisational structure and functional descriptions) would be submitted to a subsequent meeting of the committee.

ACTION: PS

6. Information Governance – Internal Audit Review (TAC/15/07)

- 6.1 Peter Sinden presented the report, which detailed the recommendations of the Information Governance audit that had recently been conducted by PwC on behalf of Monitor as well as the KIM team's management responses.

6.2 The TAC reflected on the assessment framework that had been used for the audit, which was aligned with best practice. In relation to next steps, it was considered important for Monitor to set out its future vision in relation to information governance. As it was expected that the appointment of a Senior Information Risk Owner (SIRO) would provide clear accountability and direction for Monitor's information governance strategy, TAC members considered there were a number of appropriate candidates within Monitor who could fulfil this role. The Committee noted that it was not purely a technical role and emphasised that the role holder should be able to drive real cultural change across the organisation. Given that the Chief Executive would appoint the SIRO, it was proposed that a briefing note should be drafted to provide him with appropriately detailed information to inform his decision.

ACTION: PS

7. Health and Social Care Information Centre Update and Strategic Roadmap Options (TAC/15/08)

7.1 Peter Sinden presented the report, which provided an update on progress in relation to Monitor's relationship with the Health and Social Care Information Centre (HSCIC) and set out recommended next steps.

7.2 TAC members considered the enhanced role of the HSCIC and the implications of this for Monitor's operations, particularly in the context of an increasing focus on information governance. As Monitor required the use of a number of datasets to fulfil its regulatory functions, TAC members considered a proactive approach would be necessary to ensure Monitor continued to have access to the data it required.

7.3 Further thought was given to the data Monitor used in calculating national prices and the anticipated timeframe for moving all providers to patient level information and costing systems. The TAC discussed how Monitor's relationship with the HSCIC could be progressed. Further opportunities for engagement with the HSCIC would be sought and the TAC requested the presentation of a strategic roadmap at its next meeting.

ACTION: PS

8. Other business

8.1 No other business was raised.

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.

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