

To: The Board

For meeting on: 28 May 2015

Agenda item: 8

Report by: Sigurd Reinton, Technology Assurance Committee Chair

Report on: Report of the Technology Assurance Committee meeting on 14 May 2015

Background:

1. 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.

Issues:

Secondary uses of data

2. The TAC highlighted the importance of progressing work on the secondary uses of data. This is being taken forward as part of the work programme of the National Information Board.

Building and deploying the Strategic Information Platform (SIP)

3. TAC members noted the work that is being carried out to develop the architecture of the SIP. As engagement across the organisation will be key to making sure that this is successful, the TAC asked the KIM team to think about the most appropriate ways of achieving this.
4. The TAC focussed on the manner in which the KIM team's work is planned and prioritised. Particular consideration was given to the controls, processes and reporting in place to ensure that the team's working practices are effective. Further information about these will be submitted to the next meeting of the TAC.

Information Systems Strategy amendments in light of the business plan (including key decisions roadmap)

5. TAC members reviewed the decision points and associated deliverables to be produced in 2015 to inform the delivery roadmap for the Information Systems (IS) Strategy. The focus in 2015 will be shaping and assuring the delivery of the SIP programme and ensuring that associated streams of work planned to leverage the platform in 2015 are aligned and architected appropriately. The TAC discussed the conceptualisation of the IS Strategy and the manner in which the implementation of it would most successfully be achieved.

KIM's portfolio and project management process and associated governance processes

6. The TAC discussed the KIM team's overall approach to governance, with specific emphasis on portfolio and project management, resource management, progress reporting and, risk management. TAC members welcomed the move to put in place better governance processes.

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 14 MAY 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:

Graham Binns, Enterprise Architect (KIM)
Derek Cox, Head of Governance and Assurance (KIM)
Philippa Harding, Board Secretary
Stephen Hay, Managing Director of Provider Regulation
Peter Sinden, Chief Information Officer
Neil Stutchbury, Director of Business Engagement (KIM)
Georgia Toutziari, 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 Adrian Masters (Managing Director of Sector Development) and 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 12 February 2015
(TAC/15/09)**

3.1 The minutes of the meeting of the Technology Assurance Committee (TAC) on 12 February 2015 were approved and the matters arising were noted.

3.2 It was noted that arrangements had yet to be made to enable TAC members to spend time with the Knowledge and Information Management (KIM) team in order to develop their understanding of the team's working practices. The importance of such visits was emphasised.

3.3 TAC members discussed the developing relationship between Monitor and the Health and Social Care Information Centre (HSCIC). It was noted that the Board would be considering a draft Memorandum of Understanding (MoU) between the two organisations at its meeting on 28 May 2015. The current and expected future working arrangements in place between the HSCIC and Monitor were considered.

3.4 The issues associated with secondary uses of data were considered. It was noted that work was being undertaken as part of the NHS Five Year Forward View (5YFV) on the information agenda across the whole health care system. One of the workstreams of the National Information Board was specifically focussing on the establishment of a consensus between citizens and care professionals on how sensitive personal information was used, based on a transparent understanding of how it was used and the benefits for service users and the wider community. This formal workstream was also supplemented by informal joint working groups across Arms Length Bodies. In light of these arrangements the TAC was content that appropriate steps were being taken to ensure that the required progress was being made towards effective secondary use of data. This was considered vital to enable the development of new care models required across the health service in the future.

4. TAC update (TAC/15/10)

4.1 The TAC considered the report which provided an update on key activities outlined in the Committee's terms of reference, to enable high level assurance of activity against objectives.

4.2 TAC members considered the extent to which key activities had been delivered or re-prioritised, particularly with regard to building and deploying the Strategic Information Platform (SIP). The business plan had prioritised Monitor's role in helping to drive sustainability of the sector and new models of care. However, the deferral of work on managing unstructured data could increase the risk that the organisation would be unable to draw together or evidence all information leading to a decision. TAC members were assured that manual processes were in place to ensure joined up working across the organisation. A pragmatic approach was being taken to develop the SIP architecture based upon what was already in existence and with consideration about Monitor's future needs. Key to the successful implementation of this would be full engagement from across the organisation, which, historically, had been difficult to achieve. Further consideration about the most appropriate ways of achieving this engagement was requested.

ACTION: PS

4.3 With regard to the strategic implementation capability of the KIM team, particularly around the topics of project and portfolio management of the Information System (IS) Strategy, it was noted that the context within which the team was working seemed to be driven by shifting priorities, new operational needs and increased demand. TAC members expressed concern over the extent to which this could have unintended consequences, such as enabling a culture of 'acceptable drift' across the organisation, which could undermine effective and efficient working practices and an associated performance culture. It was reported that controls and processes were being put in place in order to mitigate this risk, such as the creation of a formal portfolio management process. TAC members welcomed this and emphasised the

importance of ensuring commitment from across the organisation to shared priorities with the KIM team. Further information about the controls already in place and any additional proposals for organisation-wide engagement were requested for submission at the next meeting of the TAC.

ACTION: PS

4.4 The TAC was asked about the level of decision and information that it required to provide assurance to the Executive Committee and the Board in line with its Terms of Reference. TAC members emphasised the value of having a dashboard which set out the key performance of and risks to the portfolio of work required to deliver the IS Strategy. Active engagement of TAC members outside meetings to enable their more detailed understanding of the KIM team's working practices was considered to be vital. Once the TAC members had been given the opportunity to spend time with the KIM team, they would be able to give their views at the next TAC meeting.

5. Information Systems Strategy amendments in light of the business plan (including key decisions roadmap) (TAC/15/11)

5.1 Peter Sinden introduced the paper which provided a review of the current IS Strategy in light of emerging organisational priorities, along with a roadmap of key architecture deliverables and decision points needed to deliver against a revised strategy.

5.2 TAC members focussed upon the presentation of the renewed IS Strategy, aligned to business drivers and business plan objectives. Dependencies across the IS Strategy were considered. TAC members emphasised the importance of ensuring that the Strategy was driven by a well thought-through articulation of the business needs, with services provided cross functionally, rather than in siloes. In particular, the role of analytics was considered in this context. TAC members proposed that the graphical representation of the revised IS Strategy should be revisited to provide additional clarity in this regard.

5.3 The TAC reviewed the decision points and associated deliverables identified within the report to be produced in 2015 to inform the delivery roadmap for the IS Strategy. It was noted that the focus in 2015 would be shaping and assuring the delivery of the SIP programme and ensuring that associated streams of work which planned to leverage the platform in 2015 were aligned and architected appropriately. TAC members emphasised the importance of clarity with regard to the possible impact of these decisions and how this might differ according to when these decisions were taken. Rather than a tabular presentation, information about milestones and targets was considered to be more valuable. It was emphasised that the key involvement of the TAC in Monitor's decision-making should be when the Executive Committee or Board was required to take a decision. The TAC would provide these bodies with assurance to assist that decision-making. It was not the role of the committee to take executive decisions, or to performance manage the KIM team.

6. KIM's portfolio and project management process and associated governance processes (TAC/15/12)

- 6.1 The TAC noted the paper, the purpose of which was to describe the KIM team's overall approach to governance, with specific emphasis on portfolio and project management, resource management, progress reporting and, risk management.
- 6.2 TAC members welcomed the move to put in place better governance processes. However, the Committee noted that clarity was required with regard to what 'better' was considered to be. It was considered important to have a clear definition of what 'good' was, in order to ensure that movement was being made towards it.

7. Other business

- 7.1 The importance of ensuring that papers were circulated in a timely manner before meetings was emphasised.

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