

Health and Social Care Information Centre
Minutes of Board Meeting – Wednesday 26 November 2014

Part 1 - Public Session

Present:

Chair	Kingsley Manning
Non-Executive Directors:	Sir Ian Andrews Dr Sarah Blackburn Sir Nick Partridge (Vice-Chair)
CEO	Andy Williams
Executive Directors:	
Director of Human Resources	Rachael Allsop
Director of Operations and Assurance Services	Rob Shaw
Director of Finance and Interim Director of Information and Analytics	Carl Vincent

In attendance¹:

Chief Technology Officer	Peter Counter
Director of Programmes	James Hawkins
Director of Customer Relations	Isabel Hunt
Caldicott Guardian and Lead Clinician	Prof. Martin Severs
Secretary to the Board	Annabelle McGuire

¹ The Secretary to the Board maintains a separate record of members of the public and those representing stakeholder organisations attending the public session of the Board as observers.

1. **Chair's Introduction and Apologies** (HSCIC 14 07 01)
 - 1.1 The Chair convened a meeting of the HSCIC Board. He welcomed the observers attending the Board meeting.
 - 1.2 Received apologies were from non-executive directors Professor Maria Goddard and Sir John Chisholm, and from Tom Denwood, Director of National Provider Support.
2. **Declaration of Interests and Minutes** (HSCIC 14 07 02)
 - 2.1 (a) Register of Interests (paper): HSCIC 14 07 02 (a)
There was confirmation that the Register of Interests was correct.
 - 2.2 (b) Minutes of Board meeting on 03 September 2014 (paper): HSCIC 14 07 02 (b)
The Board ratified the minutes of the meeting on 03 September 2014 as correct.
 - 2.3 (c) Progress on action points (paper): HSCIC 14 07 02 (c)
The Board noted the progress on action points arising from the previous meeting.
 - 2.4 (d) Matters Arising: HSCIC 14 07 02 (d):
 - The Board noted the resignation of non-executive director Jan Ormondroyd, who had taken up the position of interim CEO of Rotherham Council.
 - The Board noted the resignation of the Director of Information and Analytics, Max Jones.
 - The Chair welcomed non-executive director Dr Sarah Blackburn, Chair of the Assurance and Risk Committee, to her first Board meeting.
3. **Transparency and Governance** (HSCIC 14 07 03)
 - 3.1 (a) Committee Reports: HSCIC 14 07 03 (a)
 - i. Assurance and Risk Committee (ARC): 10 September 2014 (oral) HSCIC 14 07 03 (a) i
The interim Chair of the Assurance and Risk Committee, non-executive director Sir Ian Andrews, introduced this item. He had been able to announce the appointment of the incoming ARC Chair, Dr Sarah Blackburn, and had welcomed the new Head of Internal Audit, Simone Davis, from Health Group Internal Audit Services (HGIAS). The meeting had considered a paper on how the efficiency and effectiveness of the ARC meetings might be improved, by structuring agendas around the organisation's statutory obligations and the eight corporate risks identified by the executive management team. There should be a move towards holding quarterly meetings plus an additional meeting to discuss the Annual Report and Accounts, although this would be subject to confirmation by the new ARC Chair. The Committee had considered the risks and mitigation measures, the developing key performance indicators, and lessons from the executive management team crisis management exercise. The revised internal audit plan proposed jointly by the Chief Executive and the Head of Internal Audit had been agreed; although progress against it had been slow, they hoped to hear at the next meeting (to be held the following day) that this had improved. The development jointly with the HGIAS of an organisational assurance map was welcome. The National Audit Office (NAO) endorsed the approach taken and would table their own audit plan at the next meeting. There had been a deep dive into risk and issues management in the Information and Analytics Directorate. The Board noted the report and the Chair thanked Sir Ian Andrews for serving as the interim Chair of the ARC.
 - ii. Information Assurance and Cyber Security Committee (IACSC): 22 October 2014 (oral) HSCIC 14 07 03 (a) ii
The Chair of the Information Assurance and Cyber Security Committee, non-executive director Sir Ian Andrews, introduced this item. This had been the third meeting of the Committee and the first to be attended by a representative of the Department of Health – on this occasion, Alastair Donaldson on behalf of Mark Davies. The Committee recommended that non-executive director Prof. Maria Goddard be invited to join the Committee to replace Jan Ormondroyd, who had resigned as a non-executive director.

The Committee considered progress towards ISO 27001 accreditation and information asset owner training, and evidence from surveys following incidents. Discussions were underway with the Department of Health around developing strategies to support the health and social care system, including a framework to underpin patient care. They had resolved that the HSCIC must be an exemplar in respect to data sharing, and highlighted the importance of clearing of the backlog of data releases. As Chair, he had been working with the secretariat to agree a forward schedule of meetings, which would allow issues to be addressed ahead of the Board, offering the opportunity to escalate them if appropriate. The next meeting would take place on 16 December 2014. The Board noted the update.

iii. Remuneration Committee: 13 October 2014 HSCIC 13 October 2014 (oral) HSCIC 14 07 03 (a) iii

The Chair introduced this item. Following agreement by the CEO and Chair, the Committee had approved the executive management team objectives. A review of director expenses had taken place. Principles in respect to recruitment and retention premia (RRP) had been agreed, as had an approach to clinical pay, which was been endorsed by Prof. Martin Severs. The Board noted the update.

3.2 (b) Board Forward Business Schedule 2014-15 (paper): HSCIC 14 07 03 (b)
The Board noted the forward business schedule.

3.3 (c) HSCIC Top Level Structure Interim Changes (paper): HSCIC 14 07 03 (c)
The CEO presented this paper. He reported on the management of the recent changes in the HSCIC executive management team. Pending the permanent appointment to the post of Director of Information and Analytics, these changes would be in place. This had resulted in the appointment of Carl Vincent, Director of Finance and Corporate Services, as the interim lead for the Information and Analytics Directorate; he would also continue to lead the Finance team. During the interim period, James Hawkins (Director of Programmes) would oversee the Portfolio, Informatics Portfolio Management Office (IPMO) teams, Rachael Allsop (Director of Human Resources) would lead on Business Services, and Tom Denwood (National Provider Support Director) would oversee the Commercial and Procurement teams. The Executive Management leads for the Assurance and Risk Committee, due to the temporary reassignment of responsibilities, would be James Hawkins (Director of Programmes) and Rachael Allsop (Director of Human Resources). The Chair confirmed that recruitment was underway. The Board noted the update.

3.4 (d) HSCIC Board Appointments (paper): HSCIC 14 07 03 (d)
The Chair introduced this item. The Board formally noted the resignation of non-executive director, Jan Ormondroyd, and noted the appointment of non-executive director, Dr Sarah Blackburn as Chair of the Assurance and Risk Committee. The Board approved the permanent appointment of the Director of Human Resources and Director of Operations and Assurance Services as executive directors to the Board. The Board also noted that Carl Vincent, as the interim Director of Information and Analytics, has interim executive director status on the Board. Carl Vincent's substantive post of Director of Finance and Corporate Services will remain an interim executive director position whilst Carl is on secondment from the Department of Health. On making a permanent appointment to the post of Director of Information and Analytics further consideration of the executive director posts would take place. There would be no interim executive director appointment made to cover for the Board vacancy. The Board noted the updates.

3.5 (e) Update on the plans for publishing the HSCIC's progress on implementing the recommendations from the data release review (oral): HSCIC 14 07 03 (e)
The Vice-Chair, non-executive director Sir Nick Partridge, spoke to this item. He highlighted the good progress. However, there was still much to do against implementing the recommendations. There was the intention to publish on the HSCIC Internet a summary of progress so far, once this had been approved by the Board in part 2 (private session). The Chair highlighted the stakeholder event to take place on 05 December 2014, which would comprise the outcomes from the data release review. The Board noted the update.

3.6 (f) Data Access Request Backlog (paper): HSCIC 14 07 03 (f)

The Director of Finance and Interim Director of Information and Analytics introduced this item. The objective was to provide an update on progress relating to the release and sharing of data. The clearance rate from the backlog had smoothed. This had resulted from stricter governance controls, more stringent quality checks and issues in the end-to-end process for the management of requests for data. To counteract this temporary reassignment of a programme head had resulted in immediate changes, for example reprioritising of resources. He informed the Board that in line with the current rate of clearance and accounting for the complexity of a number of outstanding data requests, the re-forecast rate for the clearance of the backlog of requests (those received prior to 01 August 2014) was the 31 January 2015. The Board considered the feasibility of the revised forecast, and the dependency on issue resolution that was outside the direct control of the HSCIC. The Board noted the update and requested a completion report at the January Board.

Action: Director of Finance and Interim Director of Information and Analytics

4. **Business and Performance Reporting (HSCIC 14 07 04)**

4.1 (a) Board Performance Pack (paper): HSCIC 14 07 04 (a)

The CEO presented this item. The purpose was to provide a summary of performance in October 2014. He highlighted the following key performance indicators:

- Programme Achievement: the CEO highlighted the path to a green rating plan, which was in progress. There were three programmes that were due to go-live in the first quarter of 2015, the NHS eReferrals Service, Care Identity Service (CIS) and the replacement for the Secondary Uses Service (SUS), the programme achievement indicator would depend on these programmes being delivered on time. The Director of Programmes confirmed that work was underway to look at prospective forecasting.
- IT Service Performance: the CEO reported that the amber rating for the next period was largely explained by incidents on the Spine relating to end of life programmes.
- Organisational Health: this indicator had been red and was now green. This was explained by, after working closely with finance colleagues, increased understanding of the vacancy and recruitment position.
- Financial Management (HSCIC): the CEO reported that this indicator was red which was explained by the underestimation of the budget underspend.
- Reputation: it was confirmed that the Director of Customer Relations would be progressing the development of this key performance indicator. The Board requested that she bring her proposals to a future Board meeting when they were established.

Action: Director of Customer Relations

4.2 (b) Mid-year Review 2014-15: HSCIC 14 07 04 (a)

i. Business Plan (paper): HSCIC 14 07 04 (a) i

The Director of Programmes introduced this item. The purpose was to present the delivery status summary of the HSCIC 2014-15 corporate business plan at the end of quarter two. Reporting by exception, the paper identified:

- Business plan deliverables identified as at risk of not being achieved.
- Business plan deliverables identified as likely to be achieved, but which required issues to be resolved in order to maintain delivery confidence.
- Orphaned business plan deliverables, these being commitments that were included in the approved 2014-15 business plan, however they were not reassigned to a directorate following organisational restructuring.

He reported alignment between the executive management team objectives and the business plan. Board discussion focussed on what would affect delivery. It was confirmed that further discussion on organisational performance in relation to business planning, and delivery against the strategy was to take place at the February Board Strategy Session. The Board noted the update.

Action: Director of Programmes

ii. Budget (paper): HSCIC 14 07 04 (b) ii

The Director of Finance and Interim Director of Information and Analytics introduced this item. The paper provided the Board with a detailed review of the HSCIC's financial position at the mid-year point of the financial year 2014-15. He emphasised the stringent financial

environment within which the organisation was operating, and that it was important to commence the 2015-16 year in a robust position. The CEO stated that focused discussion took place regarding the HSCIC's financial status at the executive management team. He endorsed the analysis and recommendations and stated that no action would be taken that might impair delivery. The Board noted the financial position for the HSCIC at the mid-year and the implications for the 2015-16 budget position, and approved a reduction in target net expenditure for the year of £25 million.

5 **Supporting the Health and Social Care System (HSCIC 14 07 05)**

5.1 (a) Code of Practice on Confidential Information (paper): HSCIC 14 07 05 (a)

The Director of Operations and Assurance Services presented this item. At the HSCIC Board meeting on 03 September, Board members approved the recommendation to postpone publication of the Code of Practice. The reason for this was to update the code to reflect the anticipated regulations concerning accredited safe havens. The HSCIC Chair had advised the Chair of the Health Select Committee that the Board expected to publish the Code no later than the end of November 2014. The Board supported and approved the publication of the Code of Practice on Confidential Information in line with the issued draft, subject to the approval of the Secretary of State for Health and NHS England, as far as the code relates to information concerning or connected with the provision of NHS services.

5.2 (b) Secretary of State for Health's (SoS) Commission for the Protection of Patient Data Update (paper): HSCIC 14 07 05 (b)

The Director of Operations and Assurance Services introduced this item. He summarised the work that was underway to pull together recommendations following investigative tests carried out by a sample of volunteer organisations. He confirmed completion of twelve tests had and that another twenty-seven were in progress. The information and feedback from organisations on dealing with issues would form the basis of a draft report. The scheduled completion date of the report was the end of December 2014. After which the report was to be submitted to the Department of Health for consideration of the next steps. He highlighted that the main overall trends would shape the future programme of work. He said that the planned presentation of the report to the Board was 28 January 2015.

Action: Director of Operations and Assurance Services

5.3 (c) HSCIC and Social Care (paper): HSCIC 14 07 05 (c)

The CEO presented this item. The purpose was to update the Board on how the HSCIC intends to take forward developing and strengthening work alongside local authorities with responsibility for adult social care services. The work that Andrew Cozens had been undertaking would inform the design. The Board's Strategy Session on 22 October 2014 had an in-depth discussion on his work. He stated that the HSCIC Strategy would include social care. The Board noted the update and in particular, the actions included in the paper. The Board confirmed that it was committed to working alongside the wider health and social care system.

6 **Strategic and Policy Items (HSCIC 14 07 06)**

6.1 (a) Launch of the National Information Board (NIB) publication 'Personalised Health and Care 2020: A Framework for Action' (paper): HSCIC 14 07 06 (a)

The CEO introduced this item. This purpose was to update the Board on the publication of the National Information Board's Framework for Action "Personalised Care 2020 – Using data and technology to improve outcomes for patients and citizens." He stated that this was an important step forward for the whole health and social care system. The CEO confirmed the Framework represented Government policy, and that the Secretary of State for Health had launched the Framework. He informed the Board that the publication had significant implications for the HSCIC's own strategy, in terms of the organisations role and responsibilities, and in terms of the organisations relationships with partner organisations, customers and stakeholders. The CEO highlighted a series of staff strategy workshops that had been taking place led by the directors. There had been more than a sixty per cent take up of staff attending the workshops, at which the NIB Framework document had formed the basis of discussion. The executive management team had found the workshops to be both enjoyable and challenging. The Board noted the update.

7. **Any other Business** (HSCIC 14 07 07)

7.1 There were three items of any other business discussed.

- The Board noted that the review of the Tracing Service provided by the National Back Office (NBO) would commence in December 2014 and would report in June 2015.
- The Board was asked to note a drafting error in the Publications Strategy paper (HSCIC 14 07 08 (a)). The paper referred to the HSCIC as an 'executive agency of the Department of Health'. This is incorrect as the HSCIC is an Executive Non-Departmental Public Body.
- The Chair on behalf of the Board thanked the Secretary to the Board and colleagues for the successful administration of the first meeting of the Board in its revitalised format.

7.2 The Board noted the background papers issued for information.

8. **Board Resolution on Private Session**

8.1 The HSCIC Board passed a resolution pursuant to the Public Bodies (Admissions to Meetings) Act 1960 representatives of the press and other members of the public be excluded from the remainder of the meeting having regard to the confidential nature of the business to be transacted, publicity on which would be prejudicial to the public interest (Section 1(2) (Admissions to Meetings) Act 1960).

8.2 The arranged date of the next public Board meeting was for 28 January 2015.

Table of Actions:

Action	Action Owner
Data Access Request Backlog: The Board noted the update and requested a completion report at the January Board.	Director of Finance and Interim Director of Information and Analytics
Board Performance Pack: Reputation: It was confirmed that the Director of Customer Relations would be progressing the development of this key performance indicator. The Board requested that she bring her proposals to a future Board meeting when they were established.	Director of Customer Relations
Mid-year Review of Business Plan: It was confirmed that further discussion on organisational performance in relation to business planning, and delivery against the strategy was to take place at the February Board Strategy Session.	Director of Programmes
Secretary of State for Health's (SoS) Commission for the Protection of Patient Data Update: The scheduled completion date of the report was the end of December 2014. After which the report was to be submitted to the Department of Health for consideration of the next steps. He highlighted that the main overall trends would shape the future programme of work. He said that the planned presentation of the report to the Board was 28 January 2015.	Director of Operations and Assurance Services