

Audit and Governance Committee paper

How this paper relates to our strategy	Setting standards <input type="checkbox"/>	Increasing and informing choice <input checked="" type="checkbox"/>	Demonstrating efficiency, economy and value <input checked="" type="checkbox"/>
Paper title	Information for Quality – managing risks		
Agenda item	6		
Paper number	[AGC 01/10/2014) 423]		
Meeting date	1 October 2014		
Author	Nick Jones, Director of Compliance and Information		
For information or decision?	Information		
Recommendation	The Committee is asked to note this update		
Resource implications			
Implementation	In progress.		
Communication	Extensive stakeholder communication		
Organisational risk	Medium.		
Annexes	N/a		

1. Introduction

The Information for Quality (IfQ) programme is a significant piece of work that started last year and will address the reducing of unnecessary burden raised in the McCracken report as well as review the information we collect, how that data is submitted to the HFEA, how information is presented and the efficacy of our websites and infrastructure.

The purpose of this report is to update the Audit & Governance Committee (AGC) on the progress of the programme specifically in the areas covered by the AGC terms of reference.

2. Progress

Since the last meeting of the AGC the IfQ Board decided to undertake a business requirements and feasibility review (BRFR) prior to the commissioning of the proof of concept as previously reported to the Committee. It was clear the interface between externally facing systems (where proof of concept is vital) and between the 'systems' required by the HFEA to undertake a range of its business functions needed to be better understood and a 'step back' undertaken.

The BRFR includes the determining of the HFEA requirements for its systems facilitated by supplier, Scisys, and then a market testing exercise, conducted by the Crown Commercial Service, which will help us:

- Ensure our requirements for IfQ projects are fully understood and articulated
- Provide us with an order of costs and delivery timescales for each element of the programme

The requirements gathering will be completed by the end of October 2014 and the market testing is planned to be completed by the end of December 2014.

3. Governance

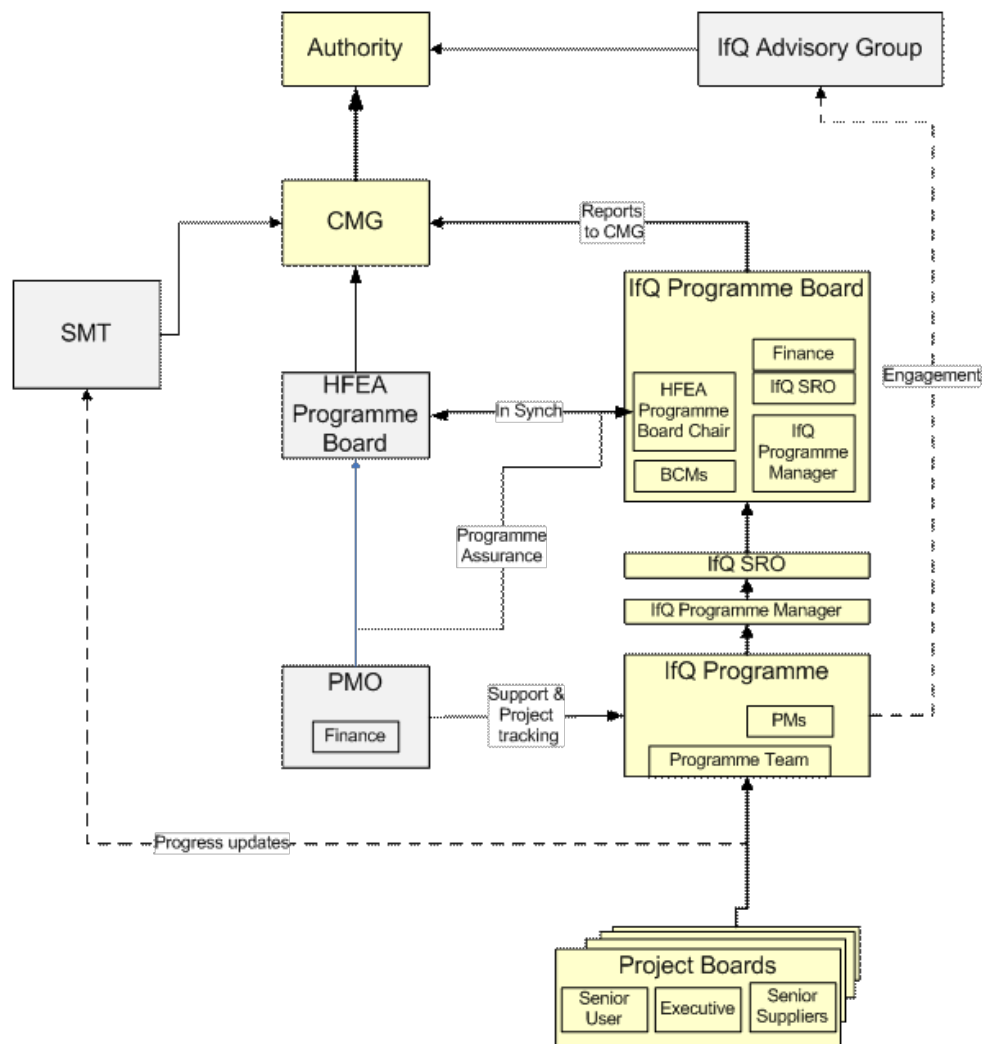
At the outset of the programme the governance structure below was put in place. The IfQ Programme Board meets fortnightly and the membership of the IfQ Programme Board includes:

- The Director of Compliance & Information
- The Director of Strategy
- The Director of Finance
- The Head of Business Planning
- The Head of IT
- The IfQ Programme Manager

The IfQ programme reports progress to the Corporate Management Group (CMG) monthly and to the CMG risk management meeting on a quarterly basis.

The IfQ Programme dovetails into the HFEA Project Management Office (PMO) function and provides monthly highlight reports in accordance with the Prince 2 methodology.

The current governance structure is working well and we do not, at this stage, envisage making any alterations to it.



The IfQ programme is being developed within the context of a refreshed National Information Board (NIB) arrangement. The HFEA, along with all Department of Health ALBs (and other bodies) are now full members. A new national 'informatics' strategy is being formulated (to be published later this year that the HFEA will be asked to endorse. This positive development is to put data and technology to work to the best advantage of patients, professionals, citizens and taxpayers. It is likely the HFEA's IfQ proposals will be scrutinised by the portfolio committee of the NIB, which is welcomed and likely to be eased by our close working with the Health and Social Care Information Centre and Government Digital Service to date.

4. Information Governance Toolkit

Risk is managed in accordance with the, Cabinet Office recommended, Managing Successful Programmes methodology dovetailed to the HFEA risk management framework. This includes:

- An agreement as to how risks are quantified and the point at which they need to be escalated to the corporate risk register
- The logging of risks & issues on an IfQ programme register
- The adoption of risk mitigation measures
- The review of risks & issues as required and at least monthly
- Monthly reporting of risks to the IfQ Programme Board & the risk management CMG

The diagram below shows the current risk profile within the IfQ Programme



- There are currently 34 open risks that are being managed by the programme.
- The high risk reflects that the costs for implementing the programme are not currently known. However, a market testing exercise is in place that will provide costings by December 2014.
- As expected, the most frequent risk category relates to resources (mainly risks that resources may not be available without impacting business as usual and for which mitigations are in place)

Risk Category	0-Very Low	1-Low	2-Medium	3-High	Grand Total
Benefits realisation	1				1
Change Management	3				3
Costs				1	1
Funding			1		1
Knowledge			1		1
Programme			2		2
Quality		4	2		6
Reputation		1	3		4
Resources	1	2	6		9
Scope			2		2
Service transition		1			1
Timescales			3		3
Grand Total	5	8	20	1	34

5. Financial controls

The Department of Health (DH) issued a revised DH schedule of delegations for ALBs on 12th August. The delegations impose new controls relating to the spending of funds on public-facing digital projects. The HFEA websites would certainly fall within this category and guidance is being sought from the department as to whether Clinic Portal, a part of the IfQ Programme, falls within the scope of the delegations.

The new delegations require approval from the DH Digital lead for any expenditure under £150,000 and approval from DH and the Government Digital Service (GDS) for any expenditure above £150,000.

The IfQ existing financial controls include:

- Segregation of duties
- Logging of all programme expenditure within the programme
- Reconciliation with HFEA finance records on a monthly basis
- Reporting budgetary status to the IfQ programme Board on a monthly basis
- Review of the IfQ budget by the Director of Finance & the Senior Responsible Owner (SRO) on a quarterly basis.

The IfQ programme is currently within budget and the market testing exercise described above will inform the future budgetary requirements.

Following our last budget review we are reducing our likely spend in this financial year and the Director of Finance has been discussing with DH carry over arrangements for the next financial year.

6. Internal Audit

Health Group Internal Audit has been contracted to undertake an audit of the IfQ programme which will begin week commencing 6th October 2014. Whilst the IfQ Programme is still at an early stage, we believe there is value in reviewing the programme in terms of:

- Stakeholder Engagement
- Clarify of scope
- Risk & opportunity management
- Delivery enabled plans
- Focused benefits management
- High performance teams
- Financial controls
- Supplier integration
- Quality management
- Assurance
- Change control
- Governance

The completed report will be circulated to the Committee in due course in the normal way.

7. Report from the tender panel

In accordance with our Standing Financial Instructions the committee is requested to note that the following contracts have been awarded since the last meeting:

1. Contract with Fluent Interaction for £58,850+VAT for user research across the HFEA main website, CaFC, Clinic users & professionals as well as the requirement for the Lifecycle website. The Tender was run using the Crown Commercial Service (CCS) Agile Route to Market 3 framework.
2. Contract with Scisys for £55,380+VAT to gather requirements across HFEA systems (excluding websites). The contract was awarded in accordance with the Crown Commercial Service RM1043 Digital services Framework

8. Recommendation

The Committee is asked to note this report.