

KPI	PROGRAMME ACHIEVEMENT	KPI STATUS REPORTED THIS MONTH	A
		KPI STATUS FORECAST NEXT MONTH	A

The headline RAG status for this KPI derives from the 'overall delivery confidence' score across all 32 programmes on the HSCIC programme delivery dashboard. The KPI methodology treats all 32 programmes as equal: there is no allowance for the possibility that some programmes could be more important than others. This suggests that we cannot objectively conclude that risks associated one programme carry more weight in respect of the KPI than risks associated with any other programme . So, if a risk becomes an issue for a 'major' or 'high priority' programme this would have the same impact on the KPI as the equivalent scenario applied to a 'lesser' or 'lower priority' programme. Intuitively this position does not feel entirely right: we might reasonably expect the status of a high priority programme to have greater impact on the Programme Achievement KPI than the status of a lower priority programme.

Work is ongoing to develop a prioritisation model that will provide an objective and rigorous means to evaluate the relative priority of programmes. This prioritisation model will allow the organisation to move away from an implied position of 'all programmes are equal'. This model could support a differentiated approach to the Programme Achievement KPI in which the delivery confidence scores for high priority programmes carry greater weight than the equivalent scores for lower priority programmes. Likewise, this could support a means to weight the risks associated with individual programmes: risks associated with high priority programmes could carry greater weight than those associated with low priority programmes. So, if a risk becomes an issue for a high priority programme this would have greater potential impact on the Programme Achievement KPI than the equivalent scenario applied to a low priority programme.

At present, for the reasons stated above concerning the KPI methodology, it is not possible to establish that any particular corporate risk would be useful as a predictor of impact on the RAG status of the KPI. We do, however, have a number of risks recorded against specific programmes, e.g. care.data and Spine 2.

Risks associated with the Programme Achievement KPI also have a potential impact on the Reputation KPI: failure of a programme could impact negatively on the reputation of the organisation.

Risk	Category	Summary Description	Impact on KPI	Status
14954	Operational	care.data programme: business case	Lower overall delivery confidence; another 'RED' rated programme	R
14849	Strategic	care.data programme: engagement with appropriate governance	Lower overall delivery confidence; another 'RED' rated programme	R
14960	Operational	Data Services for Commissioners programme: funding uncertainty	Lower overall delivery confidence; another 'RED' rated programme	R
15319	Operational	Data Services for Commissioners programme: NHS England requirements	Lower overall delivery confidence; another 'RED' rated programme	R
14950	Operational	Local Service Providers Delivery programmes: failure to deliver benefits	Failure to realise benefits; lower overall delivery confidence	R
15554	Strategic	Evolving governance arrangements across NHS impacts HSCIC benefits delvier	Failure to realise benefits; lower overall delivery confidence	A
15625	Operational	Delivery of Spine 2	Lower overall delivery confidence; another 'RED' rated programme	A / R

KPI	IT SERVICE DELIVERY	KPI STATUS REPORTED THIS MONTH	G
		KPI STATUS FORECAST NEXT MONTH	A

The IT Service Performance KPI reports on three main aspects of service delivery: (1) availability of services, (2) response times, and (3) fix times for high severity security incidents.

The main corporate risks in this area concern failure business critical systems (Risk 14836; Risk 14948), and failure to maintain the national services architecture (Risk 14848). Failures in these risk areas could have an adverse impact on the IT Service Performance KPI. In addition, Risk 14855 has some relevance in that it concerns continuity of service provision during the exit from LSP contracts, as does risk 14825 regarding the loss of a key supplier/suppliers.

Risks associated with the IT Service Performance KPI also have a potential impact on the Reputation KPI: failure to demonstrate that HSCIC can deliver reliable and resilient systems could impact negatively on the reputation of the organisation.

Risk	Category	Summary Description	Impact on KPI	Status
14950	Operational	Local Service Providers Delivery programmes: failure to deliver benefits	Local NHS bodies losing critical systems	R
14945	Operational	Data flows gateway: delays in HSCIC meeting the needs of commissioners	Failure to deliver required data flows	R
14855	Operational	HSCIC fails to support a safe and secure exit from LSP contracts	Negative impact on business continuity of local service delivery	A / R
14848	Strategic	Delivering the national services infrastructure	Failure to support NHS operational services	A / R
14836	Operational	HSCIC experiences a key system failure	Loss of NHS operational systems or services	A
14825	Operational	Loss of key supplier(s)	Loss of NHS business critical operational systems and services	A

KPI	ORGANISATIONAL HEALTH	KPI STATUS REPORTED THIS MONTH	R
		KPI STATUS FORECAST NEXT MONTH	R

The headline RAG status for the current Organisational Health KPI derives primarily from metrics about vacancies (for instance, the numbers of vacancies, the percentage of posts vacant). Risk 14835, which concerns securing an appropriate workforce, is the corporate risk most likely to impact on the Organisational Health KPI. However, the other corporate risks listed below all relate to the ability of the organisation to attract and retain sufficient numbers of high calibre staff with requisite skills and experience. To some extent each of these other risks relates to the primary risk about securing an appropriate workforce and, in turn, each has some potential impact on the Organisational Health KPI.

Risks associated with the Organisational Health KPI also have a potential impact on the Reputation KPI: failure to establish HSCIC as the employer of choice in the health informatics sector could impact negatively on the reputation of the organisation.

Risk	Category	Summary Description	Impact on KPI	Status
14835	Strategic	Securing an appropriate workforce	Inability to recruit sufficient numbers of staff	R
14831	Strategic	Developing the health and care informatics profession	Inability to recruit skilled informatics professionals	A
14834	Strategic	Becoming a high performing organisation	Inability to recruit and retain skilled staff	A
14826	Strategic	Failure to support local communities: perception of HSCIC as 'Leeds-centric'	Adverse impact on ability to attract staff	A
14829	Strategic	Partnerships for innovation; wider innovation activity	Failure to develop reputation as innovative organisation / employer	A
14956	Operational	Tax liabilities of staff working regularly out of more than one base	Impedes recruitment to key positions	A

KPI	FINANCIAL MANAGEMENT: HSCIC	KPI STATUS REPORTED THIS MONTH	G
		KPI STATUS FORECAST NEXT MONTH	G

The Financial Management (HSCIC) KPI reports on actual and forecast spend against the annual budget, as well as variances related to these. In one sense the corporate strategic risk about securing the HSCIC budget (Risk 14840) has limited bearing here: this risk relates to securing the HSCIC budget in the first place, whereas the Financial Management KPI is about spending against this budget once it has been secured. That said, failure to secure sufficient budget for future years to meet the expenditure planned in those future years could result in overspending, and this would affect the KPI RAG status. Moreover, it can be argued that the relationship between the KPI and this particular risk also works the other way: a 'red' status for the KPI – indicating failure to spend all, or nearly all, of the current year's budget - presents a risk that in subsequent years Grant In Aid allocations are reduced in line with this underspend, thereby making it more difficult to secure the budget required to sustain all HSCIC functions.

The corporate risk about programme delays pushing unavoidable expenditure into future years (Risk 14944) has a potential impact on the Financial Management KPI. The impact of this risk on the KPI could be twofold: it could generate underspending in the current year and overspending in future years. Firstly, the act of pushing expenditure into future years effectively removes planned expenditure from the current year. This introduces a risk of underspending in the current year against the planned budget, which could impact on the RAG status of the Financial Management KPI. Secondly, pushing expenditure into future years would add unplanned expenditure to those years, thereby imposing pressure on the budget in the medium- term. This introduces the risk of overspending in future years, which would impact on the RAG rating of the KPI (this risk is particularly prescient given the expected future reduction of Grant In Aid allocations). A risk regarding uncertainty of income from commissioning bodies is under review at Finance & Corporate Services level and may be escalated as a Corporate risk.

Risks associated with the Financial Management KPI also have a potential impact on the Reputation KPI: failure to demonstrate that HSCIC has sound financial management credentials could impact negatively on the reputation of the organisation.

Risk	Category	Summary Description	Impact on KPI	Status
14840	Strategic	Failure to secure the HSCIC budget	Insufficient funds for priority work; potential overspend	A / R
14832	Operational	Failure to protect intellectual property or copyrights results in revenue loss	Revenue loss could put greater pressure on Grant In Aid	A / R
14833	Operational	Corporate social responsibility: failures result in fines or financial penalties	Fines and financial penalties put pressure on Grant In Aid	A / R
14944	Operational	Delays to major programmes push unavoidable costs into future years	Pushing costs into future years puts pressure on future Grant In Aid	A / R
14858	Operational	Failure to provide useable assured indicators	Loss of market share / opportunity to market products - lost income	A

KPI	REPUTATION	KPI STATUS REPORTED THIS MONTH	A
		KPI STATUS FORECAST NEXT MONTH	A

The Reputation KPI reports on the sentiment of media coverage about HSCIC and the results of satisfaction surveys relating to customers, suppliers and other stakeholders. The majority of our corporate risks directly concern HSCIC reputation and failure to manage these risks well could impact directly on the Reputation KPI. For instance, Risk 14940 explicitly concerns the potential impact on HSCIC reputation of the failure of its key core functions. Similarly, Risk 14839 concerns the impact on the organisation's reputation of the failure to meet the needs and expectations of the health and social care sector.

The two risks mentioned above explicitly and directly address HSCIC reputation and so arguably have most potential impact on the Reputation KPI. In addition, however, many of the corporate risks aligned to other KPIs have a reputational element such that failure to manage those risks would have a bearing on HSCIC reputation. For instance, failure to manage risks around IT Service Performance could damage HSCIC's reputation in respect of its role in providing a stable and secure systems environment for the health and social care sector. Likewise, failure to manage risks around Information Governance could damage the HSCIC's reputation in respect of being trusted to manage sensitive data securely.

Similarly risks related to the delivery of benefits, meeting customer expectations, misunderstandings over roles across the wider system and overall stakeholder relationship risks will also have impacts on HSCIC's reputation.

Risk	Category	Summary Description	Impact on KPI	Status
14847	Strategic	HSCIC experiences a significant security breach or data loss	Negative impact on HSCIC reputation / trustworthiness	R
14849	Strategic	care.data programme: engagement with appropriate governance	Loss of sector confidence in HSCIC to deliver major programmes	R
14835	Strategic	Securing an appropriate workforce	Inability to deliver core functions, role and reputation undermined	R
14946	Operational	Internal HSCIC IG failure: loss of personal identifiable or other confidential data	Negative impact on HSCIC reputation / trustworthiness	R
14954	Operational	care.data programme: business case	Loss of sector confidence in HSCIC; role and reputation undermined	R
14960	Operational	Data Services for Commissioners programme: funding uncertainty	Loss of sector confidence in HSCIC; role and reputation undermined	R
15319	Operational	Data Services for Commissioners programme: NHS England requirements	Loss of sector confidence in HSCIC; role and reputation undermined	R
14945	Operational	Data flows gateway: delays in HSCIC meeting the needs of commissioners	Loss of sector confidence in HSCIC; role and reputation undermined	R
14827	Strategic	Failure to support the Life Sciences industry	Negative impact on HSCIC reputation	A / R
14828	Strategic	Failure to develop the informatics market-place	Negative impact on HSCIC reputation as leading the informatics sector	A / R
14947	Operational	IG failure in the wider system: loss of personal identifiable or confidential data	Negative impact by association on HSCIC reputation / trustworthiness	A / R
14856	Operational	HSCIC data products are not as accessible as they could be	Inaccessible products could affect reputation and customer relations	A / R

14855	Operational	HSCIC fails to support a safe and secure exit from LSP contracts	Reputational damage to HSCIC (and DH and individual NHS Trusts)	A / R
15373	Strategic	Data Quality: misunderstandings about organisational responsibility	Data quality does not improve	A
14834	Strategic	Becoming a high performing organisation	Inability to recruit and retain skilled staff	A
14826	Strategic	Failure to support local communities: perception of HSCIC as 'Leeds-centric'	Adverse impact on ability to attract staff	A
14839	Strategic	Failure to meet the needs and expectations of the health and social care system	Loss of sector confidence in HSCIC; role and reputation undermined	A
14841	Strategic	HSCIC strategic objectives do not align to government policy / national objective	Loss of sector confidence in HSCIC; role and reputation undermined	A
14859	Strategic	HSCIC encounters competing priorities and so fails to meet all customer expectations	Loss of confidence in HSCIC; potential damage to customer relations	A
14852	Strategic	Failure to work effectively with suppliers and the market	Loss of supplier confidence, loss of sector confidence	A
14829	Strategic	Partnerships for innovation; wider innovation activity	Failure to develop reputation as innovative organisation / employer	A
14830	Operational	Failure to support all suppliers under AQP approach results in legal challenge	Legal challenge has adverse impact on reputation	A
14842	Operational	Post-IGAR review: portfolio management requirements	Loss of sector confidence in HSCIC	A
14838	Operational	Non-HSCIC IG failure in the wider health and social care system	Wider IG failure could affect HSCIC reputation / trustworthiness	A
14857	Operational	Failure to understand and meet customer requirements for data	Negative impact on reputation and customer relations	A
14858	Operational	Failure to provide useable assured indicators	Negative impact on reputation and customer relations	A
14942	Operational	HSCIC's data collection role for the health and social care sector: duplication	Loss of sector confidence in HSCIC; role and reputation undermined	A
	Operational	Media attention for care.data impacts negatively on other programmes	Loss of sector confidence in HSCIC to deliver major programmes	A
14836	Operational	HSCIC experiences a key system failure	Loss of sector confidence in HSCIC; role and reputation undermined	A
14948	Operational	Failure of business critical system	Loss of sector confidence in HSCIC; role and reputation undermined	A

KPI	DATA QUALITY	KPI STATUS REPORTED THIS MONTH	R
		KPI STATUS FORECAST NEXT MONTH	R

The Data Quality KPI measures the quality of incoming data received by HSCIC from external organisations within the health and social care sector (for example, health service providers). This is intended to demonstrate the success of HSCIC in supporting and driving improvements in data quality across the sector. Each of the three corporate risks relating to data quality, listed below, has a potential bearing on the Data Quality KPI.

Risk 15369 concerns the availability of appropriate standards against which to assess the quality of data received. Absence of such standards would prevent HSCIC from assessing the quality of data in the sector. In a narrow sense this would make it difficult to report against the KPI at all. More importantly, however, inability to assess the quality of data received would make it difficult to demonstrate that data quality in the sector is improving.

Risk 15373 concerns misunderstandings about the responsibility of organisations within the health and social care sector for the quality of their data. If provider organisations do not understand that they are responsible for the quality of their data they will not prioritise and own data quality improvement work. One result of this could be failure to improve data quality across the sector, which would directly affect the RAG rating of the Data Quality KPI.

Risk 15400 concerns misunderstandings within the health and social care sector about HSCIC's data quality requirements. If organisations do not understand data quality requirements they are less likely to prioritise and own work to achieve compliance with such requirements. One outcome of this could be failure to improve data quality across the sector, which would directly affect the RAG rating of the Data Quality KPI.

Risks associated with the Data Quality KPI have a potential impact on the Reputation KPI: given the HSCIC's role in improving data quality across the health and social care system, failure to develop, uphold or communicate data quality standards well could impact negatively on the reputation of the organisation.

Risk	Category	Summary Description	Impact on KPI	Status
15369	Strategic	Data Quality: information standards - inability to assess quality of incoming data	Unable to determine the data quality of incoming data	A
15373	Strategic	Data Quality: misunderstandings about organisational responsibility	Data quality does not improve	A
15400	Strategic	Data Quality: adequacy of product - data quality requirements not understood	Data quality does not improve	A

KPI	INFORMATION QUALITY	KPI STATUS REPORTED THIS MONTH	G
		KPI STATUS FORECAST NEXT MONTH	G

The Information Quality KPI reports the number of recorded information quality incidents relating to reports and statistical publications issued by HSCIC (for instance, if a publication contained a data error this would constitute an information quality incident). So, whereas the Data Quality KPI concerns the quality of incoming data received by HSCIC, the Information Quality KPI concerns the quality of outgoing information published by HSCIC.

Of the three corporate risks relating to information quality, Risk 14858 has the clearest relationship with the Information Quality KPI. This risk concerns the production of usable and assured indicators for the health and social care sector. One manifestation of failure to manage risks concerning the production of usable and assured indicators could be a rise in recorded information quality incidents (in other words, and although the relationship is not direct, the systematic publication of erroneous information products could be interpreted as failure to produce usable and assured indicators). This could affect the RAG status of the Information Quality KPI.

The other two corporate risks relating to information quality do not directly impact on the Information Quality KPI as currently defined. Rather than addressing quality defined in terms of the publication of correct, accurate, and robust information, these risks relate to other aspects of quality. Risk 14856 relates to the accessibility of information products. Risk 14857 concerns how well information products meet customer requirements.

Risks associated with the Information Quality KPI also have a potential impact on the Reputation KPI: failure of HSCIC to provide accessible and assured products that meet customer requirements could impact negatively on the reputation of the organisation.

Risk	Category	Summary Description	Impact on KPI	Status
14856	Operational	HSCIC data products are not as accessible as they could be	Inaccessible products could be seen as a quality issue	A / R
14857	Operational	Failure to understand and meet customer requirements for data	Failure to meet customer needs could be seen as a quality issue	A
14858	Operational	Failure to provide useable assured indicators	Failure to provide useable product can be seen as a quality issue	A

KPI	INFORMATION GOVERNANCE INCIDENTS	KPI STATUS REPORTED THIS MONTH	R
		KPI STATUS FORECAST NEXT MONTH	R

The Information Governance Incidents KPI reports on three spheres of information governance: (1) internal HSCIC information governance, (2) information governance issues concerning HSCIC suppliers, and (3) information governance in the wider (non-HSCIC) health and social care sector. In terms of direct and controllable performance of this organisation, the component concerning internal HSCIC information governance could be said to have primacy over the other two. There are four main corporate risks regarding information governance issues, and these generally align with the Information Governance KPI.

Risk 14847 concerns significant security breach or data loss by HSCIC. Risk 14946 concerns failures in internal HSCIC information governance resulting in loss of personal or other confidential data. Failures in these risk areas would impact directly on the internal HSCIC information governance component of the Information Governance Incidents KPI, thereby affecting the RAG status of the KPI. In terms of direct and controllable performance of this organisation, these two risks could be said to have primacy over the others.

Risk 14947 and Risk 14838 concern information governance failures in the wider health and social care sector. Failures in these risk areas would impact directly on the external (non-HSCIC) information governance component of the Information Governance Incidents KPI, thereby affecting the RAG status of the KPI.

Risks associated with the Information Governance KPI also have a potential impact on the Reputation KPI: failure to demonstrate that HSCIC can be trusted to manage data securely, or a perceived failure to support secure data management across the system, could impact negatively on the reputation of the organisation.

Risk	Category	Summary Description	Impact on KPI	Status
14847	Strategic	HSCIC experiences a significant security breach or data loss	Significant security breach or data loss would result in 'RED' rating	R
14946	Operational	Internal HSCIC IG failure: loss of personal identifiable or other confidential data	Loss of such data would result in a 'RED' rating for HSCIC IG	R
14947	Operational	IG failure in the wider system: loss of personal identifiable or confidential data	Loss of such data would result in a 'RED' rating for external IG	A / R
14838	Operational	Non-HSCIC IG failure in the wider health and social care system	Wider IG failure would result in a 'RED' rating for external IG	A