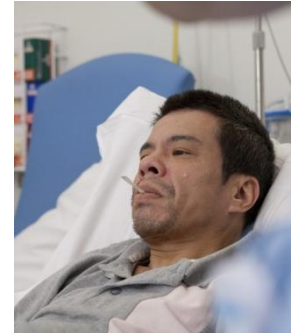
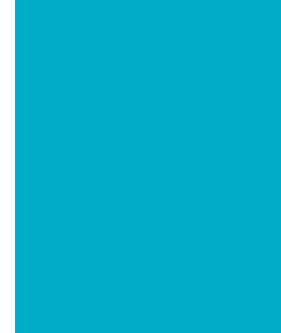


Securing excellence in IT Services

Operating model for offender health care



February 2013



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01 Glossary of terms

| Term | Acronym |
|--|------------|
| Clinical Commissioning Group | CCG |
| Commissioning Support Unit | CSU |
| Health and Social Care Information Centre | HSCIC |
| Immigration Removal Centres | IRCs |
| Information Governance Toolkit | IGT |
| Interoperability Toolkit | ITK |
| Local Service Provider | LSP |
| NHS Commissioning Board | NHS CB |
| NHS Commissioning Board Area Team | NHS CB AT |
| NHS Commissioning Board Patients and Information Directorate | NHS CB P&I |
| National Offender Management Service | NOMS |
| Primary Care Trust | PCT |
| Secure Training Centres | STCs |
| Young Offenders Institutions | YOI |

Purpose

The purpose of this document is to set out the future IT operating model for offender health IT programme which takes effect from 1st April 2013 and to make clear organisational responsibilities associated with these arrangements.

A key principle of this model is based on the safe transfer of existing IT support services and assurance processes from Primary Care Trusts (PCTs) to ensure continuity of support for these important services. The operating model will continue to support IT services as currently provided and further developments of patient records in line with vision of the NHS CB.

The document does not address any human resource implications associated with the revised operating model. Nor does it cover IT service provision within the offender health IT programme outside of England.

The document describes:

- Scope of support services and assurance requirements
- Accountabilities and responsibilities for service delivery
- Tasks and functions to support service delivery
- Financial support

Background

The Offender Health IT programme has introduced a national clinical IT system for use within prisons and other premises such as Young Offenders Institutions (YOIs), and those Immigration Removal Centres (IRCs) where healthcare is currently NHS commissioned. This also includes other establishments set to transition to the NHS Commissioning Board (NHS CB) where commitments have been made. The system is supporting major improvements in the quality and continuity of healthcare for offenders.

Primary care trusts (PCTs) have led on the local implementation of the national clinical IT system for offender healthcare including the provision of associated local infrastructure (hardware and local network services), support such as training, helpdesk provision and assuring the use of national IT services. The safe transfer of these functions into the new commissioning system is highly important to ensure business continuity.

When the NHS Commissioning Board (NHS CB) becomes accountable for delivery of offender healthcare on 1 April 2013, the funding and operational delivery to provide the support and assurance for use of national IT services will be incorporated into the NHS CB's operating arrangements, through its regional/area teams. As part of this, the NHS CB is directly responsible for:

• **Clinical IT System**

a national clinical IT system for offender healthcare is provided via the Local Service Provider (LSP) agreements for the North, Midlands and East of England and additional linked prison specific agreements

• **National Systems Implementation**

by supporting planning and implementation of national clinical IT systems to improve offender health services

• **IT maintenance and local service desk**

providing local service desk and technical support services to ensure continued availability of all hardware and software

• **Networking**

enabling infrastructure through a local area network as required, connecting to N3 or any subsequent replacement

• **Hardware Management**

ensuring all hardware is up-to-date and serviceable including the operation of replacement and disposal programmes. Where hardware is the responsibility of the LSP it is to be managed in line with the LSP contract.

• **Registration Authority**

administration of appropriate access to clinical systems

• **Information Governance**

compliance with the Information Governance Toolkit (IGT)

• **Clinical Safety and Assurance**

to assure safe use and deployment of clinical systems (adherence to Information Standards Notices)

The NHS Commissioning Board (NHS CB) will continue to set overall direction, standards, strategy, budgets and maintain national infrastructure.

03 Offender Health IT Commissioning



Commissioning Board

The NHS CB will be responsible for the ongoing provision of a national clinical IT system and support services within public and private prisons and other places of detention where the IT system has been committed to implement across England. As part of this it will need to provide IT infrastructure, operational support and assurance linked to these services. The NHS CB will remain accountable for local delivery of these services as well as the responsibility for associated IT assets, replacement and disposal programmes and networking located within these premises. Where necessary the NHS CB will seek approval from the host agency for premises where the service is provided to install networking/cabling in accordance with relevant IT security/code of connection policies.

In the event where additional service provision is required to meet local strategic initiatives to improve offender health service delivery, (eg additional capacity or new premises), the NHS CB through its area teams will enable provision of national clinical IT system and associated support services subject to an approved business case outlining financial arrangements and responsibilities.

The NHS CB through its regional/area teams may choose to deliver these functions itself or make arrangements for commissioning support units (CSUs) or any other IT provider, to deliver them. In some cases, the PCT has commissioned the delivery of IT provision through other service providers, and where these agreements are in place the NHS CB through its regional/area teams will manage these legacy arrangements from PCTs through transition subject to review going forward.

Any IT service provider appointed by the NHS CB will have to deliver to a set of quality standards, including compliance with the Information Governance Toolkit (IGT), and clinical safety and assurance, determined by the NHS CB.

The National Offender Management Service (NOMS) will remain responsible for local IT provision to support its security systems (eg P-NOMIS) which are entirely separate from health care services and therefore are not covered by these arrangements.

In addition, national clinical IT system and enabling infrastructure will continue to be developed and delivered by the Health and Social Care Information Centre (HSCIC) for local implementation.

Where changes to the national health IT systems are required, the necessary approvals will need to be sought through the NHS CB, by the HSCIC.

All clinical information is stored within the clinical IT system and therefore (as per contract and specific agreements), the LSP will continue to provide associated data storage and backup services within a single instance Data Centre infrastructure through the clinical system supplier.

Continuity of National Treatment Agency (NTA) data extracts from national clinical IT system will continue as business as usual for wider analysis purposes.

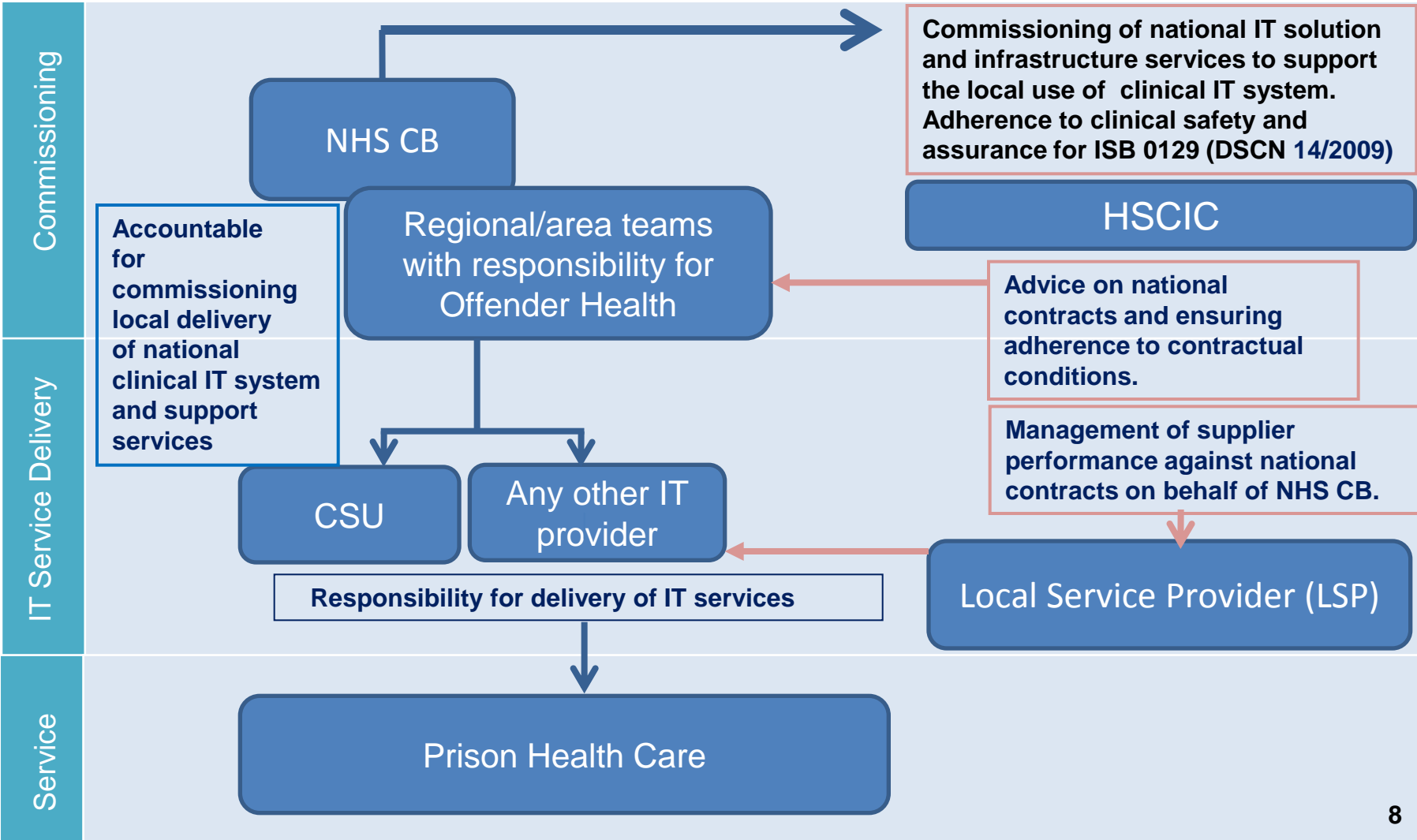
Funding of local consumables (eg printer ink and paper) will be the responsibility of the offender health service provider.

NHS CB through its area teams will have responsibility for compliance monitoring for ensuring that all parties comply with their contractual obligations.

National clinical IT system and support scope

| Functional Scope | Description |
|--|--|
| 1.1 Clinical IT System | Ensuring the provision of a national clinical IT system provided via Local Service Provider (LSP) agreements. This includes the associated prison specific contract change notices. |
| 1.2 National System Implementation | Planning and local implementation. This includes project management, cascading of training through train-the-trainer programmes, business change and benefits realisation. |
| 1.3 IT maintenance and Local Service Desk | Providing local service desk and technical support services to ensure continued availability of all hardware and software which includes: desktop support, hardware configuration management, smartcard readers, disaster recovery and business continuity business processes to enable use of clinical system. |
| 1.4 Networking Services | Ensuring continued connection to N3 or any future version of the NHS's secure network and the provision of a local area network. |
| 1.5 Hardware Replacement | Ensuring all hardware is up-to-date and serviceable including the operation of replacement and disposal programmes, and asset management responsibilities such as maintenance of asset registers. Providing a warranted secure hardware disposal service. Where hardware is the responsibility of the LSP it is to be managed in line with the LSP contract. Insurance will be responsibility of NHS CB. |
| 1.6 Registration Authority | Ensuring all service users adhere to Access Security Policies and deliver the management of position-based access control and issuing of smartcards. |
| 1.7 Information Governance | Comply with IGT and investigate the management of possible information security breaches & incidents. |
| 1.8 Clinical Safety and Assurance | Ensuring that the requirements of ISB 0129 (DSCN 14/2009) 'Application of Clinical Risk Management to the manufacture of health software' and ISB 0160 (DSCN 18/2009) 'Management of Clinical Risk relating to the deployment and use of health software' are met. |

Relationships to deliver IT arrangements



| Commissioner | Service being commissioned | Commissioned from | |
|---|--|---|-------------------------|
| NHS CB Accountable for commissioning local delivery of national clinical IT system and support services | Through its Patients and Information (P&I) Directorate | National Clinical IT System, (prison solution) through LSP contract (with associated support services for implementation) and provide management of LSP contract and associated prison specific agreements. . | HSCIC |
| | Through its P&I Directorate | National networking services e.g. N3 with associated support services | HSCIC |
| | Through its P&I Directorate | Ensure supplier meets clinical safety and assurance of manufacturing health software ISB 0129 (DSCN 14/2009) | HSCIC |
| | through its regional/ ATs | Planning and delivery of local implementation (inc project management, training and business change) | CSUs or other providers |
| | through its Regional/ATs | IT maintenance, local service desk and technical support | CSUs or other providers |
| | through its Regional/ATs | Hardware replacement, asset management and disposal services | CSUs or other providers |
| | through its Regional/ATs | Registration Authority Services - delivery of service and monitor user adherence to RA policies | CSUs or other providers |
| | through its Regional/ATs | Clinical safety and assurance for the deployment and use of health software ISB 0160 (DSCN 18/2009) | CSUs or other providers |

| Commissioner | Service being commissioned | Commissioned from |
|--|---|------------------------|
| HSCIC Responsible for commissioning national systems and establishing national contracts (on behalf of NHS CB) | National Clinical IT Systems (prison solution) and associated support services for the delivery of LSP contract. | local service provider |
| | National networking services and support services and management of contract. | system supplier |
| | National systems and associated support services and ensure compliance with supplier requirements for ISB 0129 (DSCN 14/2009) manufacturer of healthcare software | system suppliers |

Commissioning and accountability

Accountability – who holds who to account

| Organisational Body | Accountable for management | Service accountable for | Accountable for delivery |
|------------------------------------|----------------------------|---|--------------------------|
| NHS CB through its P&I Directorate | | National Clinical IT System (prison solution) through LSP contractual agreements (with associated support services for implementation) and provide advice and guidance of LSP agreements to local services. | HSCIC |
| NHS CB through its P&I Directorate | | National networking services eg N3 with associated support services | HSCIC |
| NHS CB through its P&I Directorate | HSCIC | Ensure supplier meets clinical Safety and assurance of manufacturing health software ISB 0129 (DSCN 14/2009) | Suppliers |
| NHS CB through its Regional/ATs | | Clinical safety and assurance for the deployment and use of health software ISB 0160 (DSCN 18/2009) | CSUs or other providers |
| NHS CB through its Regional/ATs | | Planning and delivery of local implementation (inc project management, training and business change) | CSUs or other providers |
| NHS CB through its Regional/ATs | | Provision of IT maintenance, local service desk and technical support | CSUs or other providers |
| NHS CB through its Regional/ATs | | Registration Authority Services - delivery of service and monitor user adherence to RA policies | CSUs or other providers |
| NHS CB through its Regional/ATs | | Registration Authority Services- adherence to RA Policies | Service users |

06 Tasks and functions

| Function | NHS CB | CSU or any other IT Service Provider | HSCIC | Service users | Suppliers |
|--|--|--|---|---|---|
| 1.2 National Systems Implementation | <p>Will set overall direction of strategy, operating model and budget and assign to HSCIC (on behalf of Informatics Services Commissioning Group) for commissioning Clinical IT system, Interoperability projects and initiatives and services to support prison health.</p> <p>Responsible for commissioning CSU or other providers to deliver implementation services to meet local strategy for national systems.</p> | <p>Will implement and deliver the support services associated with the use of national Clinical IT System as commissioned by NHS CB.</p> | <p>Procure Systems, manage Suppliers and provide oversight and guidance NHS CB and CSUs or other providers.</p> | <p>Adopt and use clinical IT system in adherence with terms and conditions of LSP contract.</p> | <p>Develop and deliver national clinical IT system and support services in line with contractual obligations.</p> |

06 Tasks and functions

| Function | NHS CB | CSU or any other IT Service Provider | HSCIC | Service users | Suppliers |
|--|--|--|---|--|--|
| 1.3 IT maintenance and local Service Desk | Responsible for service management and support for clinical IT system which will include IT maintenance, local service desk and technical support provision. Will commission from CSUs or any other service providers. | Will be commissioned to deliver a service management support service through local service desk arrangements on behalf of NHS CB. | Will be responsible for overseeing clinical IT system performance and provide problem resolution. | Use services and systems in accordance with any national guidance, IG requirements and any contractual responsibilities with suppliers. Report and log-all system problems through the local service desk. | Meet the standards for supply of clinical IT systems. Deliver obligations set out in the LSP service-level performance monitoring specification and comply with quality standards as agreed within terms of conditions of contract. |
| 1.4 Networking Services | Will set policy and direction for national services. Will seek approval from host agency to install networking/cabling where appropriate. Responsible for commissioning CSUs or other providers to ensure provision of wider area network connection. | Maintain connections to N3 and implement and support local area network connection services in accordance with IT security/code of connection policies. Will monitor users comply with code of connection policy. | Commission N3 or alternative national network services and manage suppliers. | Comply with N3 Code of Connection in use of N3 services and any local requirements. | Maintain LAN services and ensure compliance with N3. |

06 Tasks and functions

| Function | NHS CB | CSU or any other IT Service Provider | HSCIC | Service users | Suppliers |
|--------------------------------|---|--|---|----------------------------------|--|
| 1.5 Hardware Management | <p>Will commission standards setting from HSCIC and will own the hardware and liabilities for clinical IT System, infrastructure and associated hardware and software.</p> <p>Will commission hardware management (inc local strategy), disposal and replacement service.</p> | <p>Will be commissioned to support, dispose and replace prison healthcare based hardware in line with agreed local strategy with NHS CB.</p> | <p>Set standards for infrastructure (warranted environment)</p> | <p>No direct responsibility.</p> | <p>Provide unambiguous minimum requirements for hardware and infrastructure required to operate systems. Ensure these align with the agreed warranted environment.</p> <p>Where hardware is the responsibility of LSP this needs to be managed in line with contractual obligations.</p> |

| Function | NHS CB | CSU or any other IT Service Provider | HSCIC | Service users | Suppliers |
|-----------------------------------|---|---|---|---|---|
| 1.6 Registration Authority | Will be responsible for commissioning a registration authority service and performance management that users are adhering to the security policy for use of smartcard. | Will be commissioned to deliver the Registration Authority including configuration, issuing and management of smartcards. | Will set standards for suppliers. Maintain and publish the National RBAC Database (NRD). | Ensure adherence to Registration Authority access policy. | Suppliers will support the Smartcard model and the NRD in their systems. |
| 1.7 Information Governance | Will set policy and comply with NHS IG requirements. Will be responsible to ensure appointed IT service providers are compliant with IGT requirements. Will be responsible for the investigation and management of possible information security breaches & incidents. | Will be commissioned to provide monitor user adherence to information and IT security and report any incidents to the NHS CB. | Will be commissioned to provide IG expertise, support and management of the IGT. | Comply with NHS IG requirements. | Completion of Supplier IGT and maintenance of systems that comply with NHS IG requirements. |

| Function | NHS CB | CSU or any other IT Service Provider | HSCIC | Service Users | Suppliers |
|--|---|---|--|--|--|
| 1.8 Clinical Safety and Assurance | Will commission clinical safety and assurance service required to comply with safety standards ISB 0129 (DSCN 14/2009) for the manufacture of health software through HSCIC and ISB 0160 (DSCN 18/2009) relating to the deployment and use of health software through CSU or other providers. | <p>Ensure all systems are deployed and being used and setup in accordance with ISB 0160 (DSCN 18/2009).</p> <p>Any issues to be reported to the NHS CB for investigation and remedial action.</p> | Will be responsible for ensuring clinical system supplier compliance with ISB 0129 (DSCN 14/2009) for the manufacture of health software . | Will support compliance of ISB 0160 (DSCN 18/2009) ensuring safe use of systems. | Will be responsible for compliance with ISB 0129 (DSCN 14/2009) for manufacturing health software. |

Financial arrangements:

The NHS CB will be responsible for the management of revenue and capital budgets for IT services associated with offender health care services that commitment to use national clinical IT system has been agreed.

National Clinical IT System and Services

The NHS CB will continue to commission IT and support services with the HSCIC based on current contractual LSP and central funding arrangements for the ongoing development and delivery of LSP and national infrastructure service providers within the scope of services committed to transfer to NHS CB.

Local Implementation

The operating budget for local implementation of the IT provision, networking services, asset ownership and replacement/disposal programmes will be the responsibility of the NHS CB, which will be commissioned from local delivery IT providers (or may choose to deliver themselves). Where there is an existing agreement with local IT service providers this will continue but will be subject to review.

Total funding commitments will need to be maintained within the overall NHS CB Offender Health funding envelope.

Informatics: The future, an organisational summary (July 2012)

Describes an overview of the future system for informatics, implementing the vision for transforming information for the NHS, public health and social care, as set out in the information strategy and a summary description of the roles of the key organisations.

<http://www.dh.gov.uk/health/2012/07/informatics-future/>

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Library of Information Standards for use by Health and social care organisations in England and their suppliers.

<http://www.isb.nhs.uk/library/isn>