



Annual Report Digital and IT Committee

Audit Committee 6 May 2021/ Board Workshop 20 May 2021

Presented for:	Information and Assurance
Presented by:	Jas Narang
Author:	Paul Jones, CDIO

Trust Goals	
The best for patient safety, quality and experience	✓
The best place to work	✓
A centre for excellence for research, education and innovation	✓
Seamless integrated care across organisational boundaries	✓
Financial sustainability	✓

Key points	
<p>1. Terms of Reference - The Committee Chair, along with the Committee has reviewed the Terms of Reference, to ensure that the Committee is fit for purpose and carries out its duties as delegated by the Board of Directors.</p> <p>The committee has discharged its duties in line with the ToR, there are minor changes to the ToR following the review to correct minor points related to quoracy, membership and typographical errors.</p> <p>In addition, the Committee met three times in 2020 rather than the stated four in the ToR.</p>	Assurance
<p>2. Reporting Requirements - The Terms of reference for the Committee state;</p> <p>The chair of this committee shall provide an annual letter of assurance to the Chair of the Audit Committee confirming the</p>	Assurance

effectiveness of the Committee and fulfilment of its objectives. This report fulfils that requirement.	
3. Work Plans I. The Committee approved the Work Plan for 2020 and is assured on the topics covered. II. The Committee sets out its draft Work Plan for the coming year, seeking approval from the Board.	Assurance or escalation

1. Purpose

The purpose of this paper is to provide assurance to the Audit Committee that the DIT Committee has discharged its duties in accordance with its Terms of Reference, completed its work plan for 2020 and to propose its draft work plan for 2021.

The Committee shall review annually the Committee's terms of reference and its own effectiveness and recommend any necessary changes arising therefrom.

To report to the Board on matters set out in its terms of reference and how the Committee has discharged responsibilities.

The Chair of the Committee shall provide an annual letter of assurance to the Chair of the Audit Committee confirming the effectiveness of the Committee and fulfilment of its objectives, and to the effect that the committee has reported to the board financial or operational performance which would adversely affect achievement of corporate objectives.

2. Committee Members and Effectiveness

The Digital and IT Assurance Committee has had a core membership of three Non-Executive Directors, Jas Narang (Chair), Mark Chamberlain until end November 2020, Gillian Taylor until end of January 2020, John Williams from 1 December 2020 and Tom Keeney from 1 February 2020.

Additional Executive members include:

- Chief Digital and Information Officer
- Associate Directors of Digital
- General Manager DIT
- Chief Medical Officer
- CCIOs
- Chief Nurse or Deputy
- Deputy COO
- Director of HR and OD or Deputy
- Company Secretary

Attendance at the Committee has been consistent with full attendance from most members (excluding GM DIT who does not work on Fridays).

Frequency of meetings/ quorate

The Committee met on three occasions between January 2020 and December 2020. The draft minutes of the meetings have been received by the Trust Board with a supplementary update provided by the Chair.

As a result of the Covid-19 pandemic, and in line with the NHSE/I guidance 'Reducing the Burden and Releasing Management Capacity' (March 2020), a number of changes were made to the Board meetings and Committee structure, with the planned DIT Committee meeting for June deferred and took place in July.

All meetings were quorate.

Effectiveness

During a challenging time, especially during the initial lockdown when DIT were put under significant pressure to support remote working beyond anything imagined for the Trust the DIT Committee has continued to oversee and support the DIT function.

A new DIT management team has been established through 2020 with the CDIO arriving in November 2019 and the Associate Directors joining the Trust in January 2020 and March 2020. This has provided a significant uplift in the quality, timeliness and coverage of the papers and discussions at the Committee.

3. Delivery Against Terms of Reference

The committee has discharged its duties in line with the ToR with the exception of meeting only three times during 2020 rather than four. This was due to the hiatus of Board meetings during the first phase of the pandemic.

4. Amendments to Terms of Reference

There are minor changes to the ToR following the annual review to correct minor points related to quoracy, membership and typographical errors.

5. 2020 Work Plan

Assurance of delivery of work plan

Over the year the DIT Assurance Committee have reviewed and assured the major aspects of the DIT function. These include:

1. 5-year capital plan
2. Strategic risks
3. Major programmes
4. Digital elements of Building the Leeds Way
5. Reporting and Information and Insight
6. Infrastructure and Service
7. Integration between LTHT and the region via LCR and LHCRE
8. Information Governance and Security (via the IGSC Sub-committee)

5-year Capital Plan

The 5-year DIT Capital Plan has been reviewed by the Committee and accepted as an appropriate investment to meet the Trusts ambitions. It was recognised by the

Committee that the funding to underpin this plan is not yet available and progress on this will tracked through 2021.

Strategic Risks

The DIT risks have been amended and refreshed over the year. The Committee has reviewed the top risks on a regular basis and is holding the Executive to account for progress against those risks.

In addition, the Committee are aware of the amendments to the risk management process within DIT, where each direct report of the CDIO now presents a regular risk review with the CDIO and GM to assure the CDIO that risks are managed effectively. This allows the CDIO to assure the Committee that that risks presented reflect the risks within the function.

Major programmes

A number of major programmes of work were reviewed and assured by the Committee. In addition, the Committee reviewed the revised Programme Delivery LifeCycle (PDLC), which introduces consistency and rigour around DIT project delivery.

Programmes reviewed included:

- Paper-Lite
- Content management (alfresco)
- Enterprise Imaging

Digital Elements of Building the Leeds Way

There is a recognition that the new hospitals, planned to be built on the LGI site should adopt and make use of new digital technologies. The Committee have reviewed and assured the initial digital and innovation roadmap, the priorities for the year (including the appointment of a Digital Advisor, Design Briefs for the Pathology and Hospitals of the Future projects, the development of the Digital Hospital Concept using 5 strategic pillars [1. Patient and Staff Experience, 2. Core Infrastructure, 3. Smart Buildings, 4. Digital Devices, 5. Digital Information Systems] and the stakeholder engagement plan) plus some of the content that has been produced from this such as Patient and Staff Personas.

Reporting and Information and Insight

The major work reviewed and assured has been the development of a new data strategy for the Trust called "Building the Leeds Data Platform". This aims to transform the use and provision of data across the Trust, putting data in the hands of Trust staff and managers to enable data driven decision making.

This work has matured to the point of being presented to the Trust Board in early 2021.

Infrastructure and Service

The majority of the assurance work conducted in this area has been discussed within this report under the 5-year Capital Plan and the development of the IQPR metrics.

LCR and Yorkshire and Humber Care Record

Both the teams from the Leeds Care Record and the Yorkshire and Humber Care Record have presented their plans and ambitions to the Committee and explained how LTHT plays a key role in both initiatives

Information Governance and Security

The Committee executes its obligations to be assured on the IG and Security position of the Trust through the IGSC Sub-committee. Minutes are provided to each Committee and exceptions dealt with at the Committee.

6. Other Issues addressed by the Committee in year

The Committee was asked to consider four areas through 2020 that were escalated from the Board or Audit Committee:

1. The delivery of the Enterprise Imaging solution
2. The review of outstanding Audit actions given the new DIT Executive Team
3. The development of an initial set of KPIs for the IQPR
4. Cyber Strategy

Enterprise Imaging

The Enterprise Imaging project has been reviewed consistently by the Committee this year. The project had previously been running without clear, committed milestones. These were put in place and allowed the Committee to hold the Executive to account.

This culminated in a successful launch of EI in November.

Audit actions

The Audit Committee asked the DIT Executive Team to review the outstanding audit actions and propose amendments and closures as appropriate with the DIT Assurance Committee reviewing and approving the amendments.

This resulted in a significant reduction of the outstanding audit actions, allowing a focus on those remaining value added items. At the end of 2020 there is one outstanding action from this original set. This is a complicated action related to the large legacy estate. A paper is planned for the first meeting of 2021 to consider the approach and closure of this action.

IQPR

The DIT Assurance Committee, reviewed on multiple occasions and signed off on the KPIs now included in the Board IQPR. This is the first time that DIT has been included in this report.

Cyber Strategy

The Board had agreed a previous proposal to align with the governments Cyber Essentials Framework. The DIT Committee assessed the progress of the Trust to meet the target of compliance these included:

- Roll out of the Microsoft Advanced Threat Protection across the whole estate
- Updated patching and patch processes to ensure future compliance
- Annual penetration testing being completed, reported and remediation actions complete

On this basis the Committee were assured that reasonable progress is being made.

7. Risk Management

There is standing agenda item, alternating between “Blue Box” and meeting agenda to review the DIT risk register. In addition the Committee have been assured that revised risk management processes have been put in place through 2020 with the CDIO direct reports not having regular risk reviews with the CDIO and DIT GM.

8. Internal control environment

Covered in item 6.

9. Proposed 2021/22 Work Plan

The draft workplan for 2021 is included in appendix A.

10. Publication Under Freedom of Information Act

This paper has been made available under the Freedom of Information Act 2000

11. Recommendation

That the paper be accepted as evidence that the DIT Committee has fulfilled its objectives.

12. Supporting Information

Appendix 1 - DIT Committee 2021-22 Workplan
Appendix 2 - DIT Committee Terms of Reference
Appendix 3 - DIT Committee 2020-21 Workplan

Paul Jones
CDIO
8 April 2021

Appendix 1

The Leeds Teaching Hospitals NHS Trust

Digital and IT (DIT)Committee

Workplan and Calendar of Key Events 2021-22

Work Plan 2020-21					
Dates Agenda Item	26 Feb 2021	14 May	20 Aug	12 Nov	Feb 2022
1. Standing Items					
1.1 Welcome and Introductions; Apologies for Absence; and Declarations of Interest Annual Statement of Independence	X	X	X	X	X
1.2 Approval of Minutes of the Previous Meeting	X	X	X	X	X
1.3 Matters Arising and review of Action Tracker	X	X	X	X	X
1.4 Items from other Board Committees	X	X	X	X	X
2. Risk and Governance					
2.1 Strategic Risks		X		X	
<i>To be included as blue box items for references</i>	X	X	X	X	X
3. National Issues					
3.1 NHSX Priorities			X		
3.2 Performance against key criteria from national bodies <i>(To be included as blue box items for references unless discussion required)</i>	X	X	X	X	X
4. Digital Assurance Areas					
4.1 Audit actions	X	X	X	X	X
4.2 Cyber Preparedness		X		X	
4.3 Digitalisation					
a) Core programmes		X		X	
b) Building the Leeds Way	X		X		X
4.4 Information and Insight	X		X		X
4.5 Links to other providers					
a) Leeds Care Record		X			X
b) LHCRE	X			X	
4.6 Infrastructure and Service Management					
a) Key performance metrics	X	X	X	X	X

Work Plan 2020-21					
Dates Agenda Item	26 Feb 2021	14 May	13 Aug	12 Nov	Feb 2022
5. Operational Issues					
<i>The aim of the Cttee is to function as an assurance Cttee of the Board – we will work hard to ensure that operational issues are addressed in other appropriate meetings and will escalate to the Cttee as needed.</i>					
6. Major projects to review					
6.1 Major projects to be assured at key milestone points	X	X	X	X	X
7. Corporate Governance Reports					
7.1 Review the digital information within the Annual Report (out of committee for 2020)					X
7.2 Assurance of the work programme and effectiveness of the Committee to report annually to the Audit Committee in conjunction with attendance by the Chair at Audit mtg (review prior to attendance)	X				X
7.3 Committee Self-assessment				X	
8. Blue Box					
8.1 IGSC Committee minutes	X	X	X	X	X
9. Final Items					
9.1 Issues to raise with other Board Committee's	X	X	X	X	X
9.2 Strategic Issues to Escalate to the Board in the Chairs Summary Report	X	X	X	X	X
Other items					
Any other business	X	X	X	X	X
Date of next meeting	X	X	X	X	X

Appendix 2**APPENDIX G – Terms of Reference
Digital and Informatics Committee****1. Main Authority / Limitations**

- 1.1 The Board has resolved to establish to establish a Committee of the Board to be known as the Digital and Informatics Committee (“the Committee”). The Committee is comprised of Associate Non-Executive Directors, Non-Executive Directors Executive Directors and appropriate Senior Leaders from Digital and Informatics, Operational Management and Strategy. The Committee is accountable to the Board and shall have Non-Executive responsibilities, powers, authorities and discretion as set out in these terms of reference. The purpose of the Digital and Informatics Management Committee is to lead, on behalf of the Board of Directors, scrutiny of assurances concerning (i) Information Governance; (ii) Cyber Security; (iii) Digitisation of Leeds Teaching Hospitals Trust which includes preparation towards Building the Leeds Way; (iv) Information and Insight; and (v) infrastructure and service management (vi) The Trust performance against key criteria specified by national digital bodies; (vii) Programmes linking the Trust with other providers.
- 1.2 The Committee is authorised by the Board to investigate any activity within its terms of reference. The Committee may invite any Director, Executive, external or internal auditor, or other person to attend any meeting(s) of the Committee as it may from time to time consider desirable to assist the Committee in the attainment of its objective. The Committee may appoint, employ or retain such professional or legal advisors the Committee consider appropriate. Any such appointment shall be made through the Company Secretary. All Board Members shall be entitled, should they wish to do so, to see the advice received from the Committee’s advisors.
- 1.3 The Committee will report annually to the Audit Committee on the delivery of its work programme.
- 1.4 Approved minutes of the Committee are circulated to the Board for information at the first formal meeting of the Board after approval. The minutes are also circulated to the members of the Committee. The Committee Chair will provide the Board with a brief summary of the Committee’s work at the first available Board meeting opportunity after each Committee meeting. The Chair of the Committee will escalate matters to the Board as deemed appropriate and, if necessary, to the Trust Board Chair prior to a Board meeting.
- 1.5 Trust Standing Orders and Standing Financial Instructions apply to the operation of this Committee.

2. Objective

- 2.1 The Committee shall be accountable to the Board and examine assurances relating to digital and informatics performance.

3. Primary Duties and Responsibilities

- 3.1 To oversee and assure digital and informatics performance. In providing such oversight and advice to the Board, the Committee shall (i) consider future digital and informatics delivery strategy and architecture, including information and insight and infrastructure and service management; (ii) scrutinise assurances provided by management in respect of key performance indicators (as a minimum this would include requirements set out in the NHS Operating Framework, and indicators prioritised by the Board from corporate strategy and those strategic requirements set out by NHS Digital).

To consider and advise the Board on the risks associated with any digital and informatics implementations. In preparing such advice the Committee shall satisfy itself that an appropriate due diligence appraisal of the proposition is undertaken.

- 3.2 To work closely with and support the Audit Committee to review and oversee the effectiveness of the Trust's internal control framework with particular consideration for Information Governance and Cyber Security.
- 3.3 To consider, within its agenda, material issues communicated to it by the Audit Committee arising from the work of the Internal Audit function relating to matters which fall within the scope of the objective and responsibilities of the Committee. The Committee shall provide feedback on its review of such referred internal audit work, in particular as to any shortcomings perceived in the scope or adequacy of the work. Additionally, the Committee shall respond to any other matters of an internal audit nature that are referred to it by the Audit Committee as appropriate.
- 3.4 To review and endorse the content of the Digital and Informatics Committee Report in the annual report for submission to the Board.
- 3.5 To undertake or consider on behalf of the Trust Chair or the Board such other related tasks or topics as the Chair or the Board may from time to time entrust to the Committee.
- 3.6 The Committee shall review annually the Committee's terms of reference and its own effectiveness and recommend to the Board any necessary changes arising therefrom.
- 3.7 To report to the Board on matters set out in these terms of reference and how the Committee has discharged its responsibilities.
- 3.8 The Chair of this Committee shall provide an annual letter of assurance to the Chair of the Audit Committee confirming the effectiveness of the Committee and fulfilment of its objectives. The Committee will report to the Board on information governance and Cyber Security as well as any operational digital performance which could adversely affect achievement of corporate objectives.
- 3.9 Where there is a perceived overlap of responsibilities between the Trust's Finance & Performance Committee, Audit Committee, Quality Assurance Committee, Workforce Committee or the Building Development Committee; usually in consultation with the Chief Digital and Information Officer, the respective Committee Chair shall have the discretion to agree the most appropriate Committee to fulfil any obligation.

- 3.10 Where the Committee's monitoring and review activities reveal cause for concern or scope for improvement, it shall make recommendations to the Board on action needed to address the issue or to make improvements.

4. Duties and Etiquette

4.1 The duties of the Chair of the Committee shall be to:

- Keep the Board informed regularly of any material matters which have come to the Committee's attention.
- Ensure that minutes of the Committee are an accurate reflection of discussion.
- Attend or designate another member of the Committee to attend public meetings of the Trust to answer any questions related to the work of the Committee.
- Submit an annual report on the work and effectiveness of the Committee to the Board; and
- Ensure that all significant risks are discussed and where necessary escalated in line with LTHT's Risk Management Policy.

4.2 The duties of members and attendees shall be to:

- Attend and contribute.
- Have read the papers and materials in advance and be ready to work with them.
- actively participate in discussions pertaining to Committee business ensuring that solutions and action plans have multidisciplinary perspectives and have considered the impact Trust-wide.
- Disseminate the learning and actions from the meetings.
- Attend at least 75% of meetings of the Committee per year.

5. Constitution

5.1 The Committee shall meet quarterly. It is expected that the Committee shall meet a minimum of four times per year.

5.2 The quorum for meetings shall be two Non-Executive Directors, one of whom should be the Committee Chairman, unless he or she is unable to attend due to exceptional circumstances. In the absence of the Committee Chair a decision will be taken in advance of the meeting as to which independent Non-Executive Director who is a member of the Committee who shall Chair that particular meeting. The Chair shall have recent and relevant digital experience and three other members of the Committee must be present.

In order for decisions taken by the Committee to be valid, the meeting must be quorate. This will consist of four members of the Committee being present at the point when any business is transacted, with at least two Non-Executive Directors present, one Chief Clinical Information Officer present and one other member.

6. Membership and attendance

6.1 The Membership shall be disclosed in the Annual Report and shall be three independent Non-Executive Directors of the Board. There shall be no Non-Executive deputies allowed in the absence of a member attending. Any member of the Committee who is able to speak and be heard by each of the other members shall be deemed to be present in person and shall count towards the quorum. The Members shall be:

- Jas Narang (Chair)
- Tom Keeney
- John Williams

6.2 Roles to be part of the Committee membership include:

Director of Human Resources & Organisational Development or named representative
 Chief Digital & Information Officer
 Deputy Directors (x2) of Digital & Informatics
 General Manager of Informatics
 Chief Operating Officer or named ADOP representative
 Chief Medical Officer
 Deputy Chief Nurse
 Company Secretary

One of the named Chief Clinical Information Officers to attend as the representative;

- Chief Clinical Information Officer - Consultant Medical Oncologist (Academic & Research)
- Chief Clinical Information Officer - Consultant in Emergency Medicine (Medical)
- Chief Clinical Information Officer - Head of Nursing/ AHP

These roles shall be in attendance at all meetings except in relation to reserved business. They may send deputies to represent them in their absence or invite specific colleagues to address the Committee where appropriate and agreed with the Committee Chairman.

Senior Management roles upon request will be called to attend to provide information to the Committee include;

The Chair of the Information Governance Committee will draft reports for the Digital & IT Committee.

6.3 The Committee is serviced by Secretariat which organises meetings. Papers shall be available at least five clear working days before each meeting. Papers shall not be tabled unless it is essential and only with the Committee Chair's prior agreement.

6.4 Terms of reference will be reviewed annually, or more frequently in the light of changes in practice or national/local guidance.

7. Version Control

Version Control	Date	Comments
V1	31 Jan 2019	Approval by the Board (as Assurance Cttee)
V2	25 July 2019	Update to membership approved Public Board
V3	30 Jan	Update to revise ToR and cross ref to est of new

	2020	Cttees
V4	30 July 2020	Update to membership
V5	26 Nov 2020	Update to NED membership

Document Owner

The Company Secretary is the owner of this document and of any Board Minute authorising any amendment.

Supporting Sub-Committees

The information Governance and Cyber Security Committee has delegated authority to oversee and monitor the Trust's arrangements for assuring compliance with information governance requirements whilst delivering healthcare services including;

- Quality, security and confidentiality of electronic and paper-based records
- Implementation of the Caldicot Guidance
- Information Governance Toolkit
- Implementation of the NHS Code of Confidentiality
- Implementation of the Freedom of Information Act
- Implementation of the Data Protection Act
- Implementation of the General Data Protection Regulation (GDPR)

Appendix 3

The Leeds Teaching Hospitals NHS Trust
Digital Committee
Workplan and Calendar of Key Events 2020-21

New additions from DIT Cttee – 28 Feb 2020

Work Plan 2020-21					
Dates Agenda Item	28 Feb 2020	5 June	21 Aug	13 Nov	26 Feb 2021
1. Standing Items					
1.1 Welcome and Introductions; Apologies for Absence; and Declarations of Interest Annual Statement of Independence	X	X	X	X	X
1.2 Approval of Minutes of the Previous Meeting	X	X	X	X	X
1.3 Matters Arising and review of Action Tracker	X	X	X	X	X
1.4 Items from other Board Committees	X	X	X	X	X
From Board Enterprise Imaging (PACs) – standing agenda item (until can report assurance)		X	X	X	X
2. Risk and Governance					
2.1 Strategic Risks		X		X	
<i>To be included as blue box items for references</i>	X	X	X	X	X
3. National Issues					
3.1 NHSX Priorities			X		
3.2 Performance against key criteria from national bodies <i>(To be included as blue box items for references unless discussion required)</i>	X	X	X	X	X
4. Digital Assurance Areas					
4.1 Audit actions NB - Review following PJ letter to Chair of Audit Cttee – end March 2020	X	X X	X	X	X
4.2 Cyber Preparedness		X		X	
4.3 Digitalisation					
a) Core programmes		X		X	
b) Building the Leeds Way	X		X		X
4.4 Information and Insight	X		X		
4.5 Links to other providers					
a) Leeds Care Record	X			X	
b) LHCRE		X			X
4.6 Infrastructure and Service Management					

Work Plan 2020-21					
Dates Agenda Item	28 Feb 2020	5 June	21 Aug	13 Nov	26 Feb 2021
a) Key performance metrics	X	X	X	X	X
b) Infrastructure Investment	X		X		X
c) Q reports Net Promoter Scoring of employee perception of the quality and timeliness of IT services		X	X	X	X
5. Operational Issues					
<i>The aim of the Cttee is to function as an assurance Cttee of the Board – we will work hard to ensure that operational issues are addressed in other appropriate meetings and will escalate to the Cttee as needed.</i>					
6. Major projects to review					
6.1 Major projects to be assured at key milestone points	X	X	X	X	X
7. Corporate Governance Reports					
7.1 Review the digital information within the Annual Report (out of committee for 2020)					X
7.2 Assurance of the work programme and effectiveness of the Committee to report annually to the Audit Committee in conjunction with attendance by the Chair at Audit mtg (review prior to attendance)			X		
8. Blue Box					
8.1 IGSC Committee minutes	X	X	X	X	X
9. Final Items					
9.1 Issues to raise with other Board Committee's	X	X	X	X	X
9.2 Strategic Issues to Escalate to the Board in the Chairs Summary Report	X	X	X	X	X
Other items					
Any other business	X	X	X	X	X
Date of next meeting	X	X	X	X	X