



Matters Arising

Outcome requested:	Audit and Risk Committee is asked to note the matters arising from the minutes of the previous meeting which do not appear elsewhere on the agenda.
Executive Summary:	n/a
QMUL Strategy: strategic aim reference and sub-strategies [e.g., SA1.1]	The effective management of the College's governance arrangements underpins the College's ability to achieve its strategic aims
Internal/External regulatory/statutory reference points:	n/a
Strategic Risks:	13 – Maintain effective and constructive governance
Equality Impact Assessment:	n/a
Subject to prior and onward consideration by:	Considered by the Committee only.
Confidential paper under FOIA/DPA	Yes – (Pages 4-5)
Timing:	n/a
Author:	Sian Marshall, Assistant Registrar (Council and Governance)
Date:	19 January 2015
Senior Management/External Sponsor	David Willis, Chairman of Audit and Risk Committee

AUDIT AND RISK COMMITTEE

Matters Arising

Audit and Risk Committee is asked to **note** the following matters arising from the minutes of the meeting held on 11th September 2014.

Matters Arising [Paper ARC2014/16]

Minute 2014.003 Anti-bribery and Corruption Compliance Policies Update

Minute 2014.022 [c] Council members should also be asked to complete the training.

In the first instance the Chairman of Council, Vice-Chairman of Council, Treasurer and Chairman of Audit and Risk Committee have been asked to complete the online anti-bribery and corruption training module. The Committee is asked to consider whether training should be rolled out to all external members.

Minute 2014.004 Deep dive risk report: Health and Safety [Paper ARC2014/03]

Minute 2014.023 [h] The Committee also asked that the issue of hazardous waste disposal be included in the commentary for the February meeting. The Chief Operating Officer advised that a paper which had recently been reviewed by Queen Mary Senior Executive (QMSE), including an action plan, will be circulated to the Committee.

The paper has been circulated to members with the electronic copies of the agenda and papers.

Minute 2014.006 Insurance arrangements as risk mitigation 2014-15 [Paper ARC2014/05]

Minute 2014.023 [a] Members considered the proposed arrangements concerning the respective responsibilities of Audit and Risk Committee and Finance and Investment Committee in insurance management. The Chairman asked that the wording be revised to further clarify the responsibilities, and advised that the Committees will liaise further outside of a formal meeting.

Based on the comments made at ARC on 11 November 2014, and Finance and Investment Committee discussed the following delineation of responsibilities and agreed to consider the choice of insurers at its meeting in June:

- Audit and Risk Committee should advise on the risks to be covered, including level of cover, and should receive the relevant information relating to excesses and premiums;
- Finance and Investment Committee should cover satisfaction with the choice of insurers concerning quality;

- Future papers need to ensure that appropriate and relevant questions have been addressed for both Committees' reassurance. This should include comparison with competitors.

Internal Audit reports [Paper ARC2014/22]

Minute 2014.031 [a] The Director of Finance raised concerns with the agreement outlined in the Student Housing report, which proposed to return deposits to students prior to the end of semester and to subsequently invoice for any damages, and would follow-up on the issue after the meeting.

The Director of Estate and Facilities will provide an oral update on this matter at the meeting on 4 February 2015.

The Committee is asked to **note** the following matters arising from the confidential minutes of the last meeting.

IT major incidents report [Paper ARC2014/24]

Minute 2014.033 [b] In response to concerns about the timing of the network transformation programme, which was due to be implemented in time for Clearing in 2015, the Chief Operating Officer said that preparations will commence in January, and that he and the IT Strategy Implementation Board (ITSIB) would receive regular reports. Members emphasised that Council will not tolerate future IT issues during such a critical period and requested routine updates throughout 2014-15, which should include a mid-term update under Matters Arising at the February 2015 meeting, and a full report at the June meeting.

A rapid stabilisation project (RISP) for IT Infrastructure and a planned replacement of all 600 local network switches commenced in October 2014. These projects together will provide greatly improved stability and resilience for clearing 2015.

RISP has already delivered upgrades which have improved both the stability and security of the core network switches and has procured a new supplier for external telephone lines (the current supplier Vodafone experienced 4 major services failures in 2014 including during clearing). Moving to the new supplier will upgrade to digital lines and provide diverse routing into QM Campuses delivering greatly enhanced levels of resilience. The switchover to the new services will be complete by the end of February 2015. The replacement of 600 local network switches will improve the manageability of and resilience the QM data and telephony network.

This project is on schedule for completion by July 2015 and in time for Clearing. It should be noted that the full level of resilience promised by the IT Transformation programme will not be in place until all legacy services have been migrated to the new IT infrastructure which is due for completion in March 2016, however all mission critical central systems will be migrated by July 2015 with local school systems migrated by April 2016 (including local school websites).

MHRA Inspection [Oral report]

Minute 2014.038 [c] The Chair of Research Ethics Committee requested a meeting with the Director of Research Services to review the monitoring of clinical studies identified as 'low-risk', which were not typically included in the internal audit process but may still have the potential to affect patients.

A meeting has been arranged with the Chair of Research Ethics Committee for 22 January 2015. It has been clarified that patients on all Clinical Trials of an Investigational Medicinal Product (CTIMP) (drug) studies sponsored by QMUL and BHT are monitored (all risk levels). The risk rating determines the frequency of monitoring and this is documented in the monitoring plan set up at the beginning of the study. For low risk studies, the monitor may visit the sites and review the trial once a year. There is discretion to vary the frequency of monitoring during the trial should there be any significant deviations in compliance identified and teams are assisted to keep on track through an action plan. In

addition to monitoring there is an audit programme which is focussed on the higher risk studies and any projects where concerns have been highlighted.

Some of the other low risk non-CTIMP studies are monitored directly by the JRMO and some may be monitored on the sponsor's behalf by the study teams and reports sent to the JRMO for review. In addition there is a programme of self-monitoring of a proportion of hosted studies every year and responses are reviewed by the JRMO.

Minute 2014.038 [d] There were six sets of patients' notes outstanding and members emphasised that the first priority was to confirm the held belief that patients had not been harmed. The Trust was not obligated to, but had taken the decision to notify patients of the risk. It remained unclear at this stage exactly what the communication would entail, but it was expected that patients would be invited to talk through the incident. In addition, the Committee asked for clarification on insurance arrangements as soon as it is known.

Minute 2014.038 [g] Notwithstanding the gravity of the incident, the Committee was reassured to hear that QMUL had self-reported the incident, and felt satisfied with QMSE's quick response and actions. The Committee will continue to monitor the situation via reports from QMSE at the meetings in February and June 2015, including the outcomes of the Task and Finish Group.

All 66 sets of patient notes have been reviewed and there was no evidence that any of the patients participating in the study were harmed. In addition a literature review has been undertaken by a clinician and pharmacist, which concluded that the doses administered were relatively low and should not have caused harm.

The Trust has not yet informed the patients as they did not wish to do this before Christmas – the current draft of the letter says that that the research project was not run under the strict governance protocols that need to be in place when Trust patients are asked to participate in a trial. This has meant that the trial has been stopped and the data gathered cannot be used to help future patients. It then says that the notes have all been reviewed and the amount of medicine given should not have caused harm, and then it offers the patients a chance to speak to a dermatologist if they have any concerns.

As stated previously QMUL insurance would not cover these patients as the policy in place at the time would not cover any claims from any patients who had not been consented properly or where the protocol had not been followed correctly. Following clarification from the insurers it is understood that the NHS cover would be applicable for these patients as they were treated on Trust (NHS) property by NHS staff or staff with a BHT honorary contract.