

REPORT TO THE TRUST BOARD March 2014 Paper Ref: 9.5 TB (14) 12

Paper Title:	Audit Committee Report
Sponsoring Director:	Peter Jenkinson Director of Corporate Affairs
Author:	Mike Rappolt Chair, Audit Committee
Purpose:	To receive a report from the Audit Committee meeting held on 12 March 2014
Action required by the board:	For information
Document previously considered by:	Audit Committee
<p>Executive summary The Committee considered the following at the Committee meeting held in 12 March 2014:</p> <ul style="list-style-type: none"> • Further update on Fire Safety and Estate Maintenance • Cyber Security • Incident Management • Board Assurance Framework • Cancer Wait Data • Patient Transport • Discharge Summaries • IT Portal Project <p>Recommendation: The Board is asked to note the information and recommendations in the report</p>	

KEY MESSAGES TO THE BOARD FROM AUDIT COMMITTEE HELD ON 12th MARCH 2014.

The key points which the Audit Committee feels it needs to bring to the Board's attention this month based on its last meeting are listed below:

1. Further to the report from the Audit Committee meeting in January we received an update on progress with respect to concerns over Fire Safety and Estate Maintenance. As far as we can tell progress is now being made but follow up by Internal Audits at the end of March will confirm whether these areas are still issues of concern.
2. Following an update on cyber security the Trust is to undertake a full cyber security risk assessment.
3. An Internal Audit of Incident Management at the Trust gave Reasonable Assurance – Significant Assurance on SIs but Limited Assurance on non-serious incidents. It is important that the Trust address non-serious incidents as all acknowledge that significant learning can arise from understanding “near misses”. It is recommended that the Executive follow this up at the Divisional level and QRC will track progress.
4. Reasonable Assurance was obtained from Internal Audits of the Board Assurance Framework and Risk Registers and on the Information Governance Toolkit and Significant Assurance for Information Governance Training Materials.
5. Following adverse events at Colchester General Hospital regarding Cancer Wait Data an Internal Audit of Cancer Waiting Data was commissioned for St Georges. No evidence was forthcoming that data had been manipulated and the audit found a culture in place that encouraged accurate reporting. However a review of the systems in place identified significant weaknesses that enabled data recording errors to be made. Overall Limited assurance was given. Improvements to cancer wait time systems are already in train and we were assured that the Trust is taking these changes seriously and that no patient safety issues arise. A follow up audit will be conducted later this year.
6. An Internal Audit of Patient Transport gave Reasonable Assurance. However Renal was excluded from the Audit as it is undergoing major change and the audit highlighted the need to extend the successful Service Improvement Programme to improve the discharge process and timeliness of patient transport booking within 6 Medicine Wards to other wards within the Trust. Particularly in the light of the Internal Audit of Discharge Summaries at 7 below we urge the Trust to undertake this rapidly.
7. An Internal Audit of Discharge Summaries gave Limited Assurance. This was particularly disappointing as discharge summaries are a CQUIN with circa £400k attached to them and they are a very visible to CCGs and GPs. In quarter 3, 12% of Merlin discharge summaries were either not done or not completed. 72% were sent electronically, within 48 hours to those GP practices signed up to receive discharge summaries in this manner against the 90% target. 10% of patients surveyed stated they did not receive a

discharge summary on discharge. The quality of discharge summaries was variable with key details regularly omitted. Relevant controls were not effectively operating. Discharge summaries are a significant input to coding. The Medical Director has accepted the findings and recommendations of this report and will present a detailed implementation plan to the next regular meeting of the Audit Committee in September. In the meantime we recommend that the Executive urgently follow up on this report to ensure that discharge summaries are improved upon for the year 2014/15.

8. Reasonable Assurance was given for the start up of the complex and important IT based Portal Project. We will continue with quarterly reviews of this project.
9. We received a very satisfactory update from the Clinical Audit and Effectiveness Committee.
10. An Internal Audit of the Fundamental Financial Systems of the Trust gave Significant Assurance for 5 systems and Reasonable Assurance for another 2. This audit forms a major input into the External Audit of the Trust's financial accounts. The Audit Committee congratulated the Finance Department on this good result.
11. The Audit Committee reviewed the terms of reference and key performance indicators of the Internal Auditors.
12. The Audit Committee approved its Annual Report and next year's draft audit plan subject to minor amendments still to be made and delegated finalisation of them to the Chair. Both these documents will be presented to the May meeting of the Board.

MSJR
14 March 2014.