

Internal Audit Progress Report

Audit Committee

July 2021

Swansea Bay University Health Board

NWSSP Audit and Assurance Services



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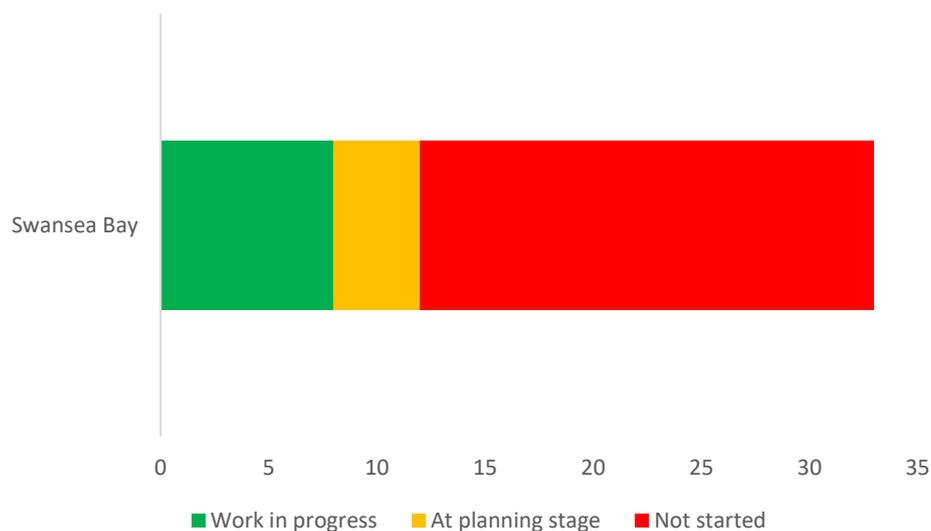
1. Introduction

The purpose of this report is to:

- highlight progress of the 2021/22 Internal Audit Plan at 2nd July 2021 to the Audit Committee; and
- provide an overview of other activity undertaken since the previous meeting.

2. Progress against the 2021/22 Internal Audit Plan

There are 33 reviews in the 2021/22 Internal Audit Plan, and overall progress is shown below.



Detailed progress in respect of each of the reviews in the 2021/22 Internal Audit Plan is summarised in Appendix A.

3. Completion of the 2020/21 Internal Audit Plan

Since the previous meeting, six reports from the 2020/21 Internal Audit Plan have been finalised, included in the Head of Internal Audit Opinion, and will be presented at this meeting. This completes our work for 2020/21.

4. Engagement

The following meetings have been held/attended during the reporting period:

- observation of Board and Committee meetings;
- audit scoping and debrief meetings;

- liaison with senior management; and
- liaison with external regulators.

5. Recommendation

The Audit Committee is invited to note the above.

Appendix A: Progress against 2021/22 Internal Audit Plan

Review	Status	Rating	Summary of recommendations	Anticipated Audit Committee ¹
Risk management and BAF	Not started			TBC
Quality & Safety Governance Framework	Not started			TBC
Financial reporting & monitoring	Not started			TBC
Delivery Framework	Planning			January 2022
NIS Directive	Not started			March 2022
Controlled Drugs Governance Framework	Not started			January 2022
Welsh Language Standards Compliance	Not started			TBC
Standards of Business Conduct - Declarations	Not started			TBC
Covid-19 review	Not started			TBC
Partnership governance- SBUHB & HDHB	Not started			TBC
Mental health legislative compliance	Work in progress			November
Annual planning	Work in progress			September
Planned care recovery arrangements	Not started			TBC
Digital Strategy implementation	Not started			January
Procurement & tendering	Not started			January
External Standards assurance	Not started			TBC

¹ May be subject to change

Review	Status	Rating	Summary of recommendations	Anticipated Audit Committee ¹
Safety notices & alerts	Not started			November
Child & Adolescent Mental Health Services (CAMHS)	Work in progress			November
E-prescribing	Work in progress			September
I.T. project management	Work in progress			November
Service management	Work in progress			November
Service Group governance arrangements	Not started			January
General Dental Services	Work in progress			September
Staff wellbeing & occupational health	Work in progress			September
Electronic Staff Record (ESR) – manager self service	Not started			January
Capital & Estates				
Waste management	Not started			TBC
Decarbonisation	Not started			TBC
Follow Up Action Tracker	Not started			TBC
Follow up (Capital)	Not started			TBC
Follow up (Estates assurance)	Not started			TBC
Elective Orthopaedic Unit development	Not started			TBC
Singleton Hospital replacement cladding	Work in progress			September
Environmental/modernisation infrastructure programme	Work in progress			November

¹ May be subject to change