

SWANSEA BAY UNIVERSITY HEALTH BOARD
INTERNAL AUDIT REGISTER 2019/20

Audit Assurance Rating Key		
Substantial Assurance	Some Assurance	
Reasonable Assurance	No Assurance	

Progress Monitoring of Approved Plan			Completion of Work				Draft Report		Management Responses				Final Report		Audit Assurance Rating / Audit Committee Date
	Report Ref. No.	Executive Lead	Planned Finish	Actual Finish	Completion	Due	Issued	Completion	Due	Received	Completion	Due	Issued	Completion	
					On time	Late		On time	Late		On time	Late		On time	Late
Audit & Assurance															
Corporate governance, risk and regulatory compliance															
1	HCS (Mid Year Review)	Director of Nursing & Patient Experience	Q3				14/01/1900				21/01/1900			14/01/1900	
2	Annual Governance Statement (commentary)	Director of Corporate Governance	Q1 (2020)				14/01/1900				21/01/1900			14/01/1900	
3	Risk Management & Board Assurance Framework	Director of Corporate Governance	Q4				14/01/1900				21/01/1900			14/01/1900	
4	Fraud, theft & corruption policy response plan	Director of Corporate Governance	Q3				14/01/1900				21/01/1900			14/01/1900	
5	HTA - Mortuary Interim report issued	SBU-1920-005	Chief Operating Officer	Q1	09/04/2019	1	23/04/2019	15/04/2019	1	06/05/2019	09/05/2019	1	23/05/2019	21/05/2019	1
6	HTA - Mortuary Re-scheduled (Part II) audit	SBU-1920-045	Chief Operating Officer	Q3	23/10/2019	1	06/11/2019	30/10/2019	1	20/11/2019	21/11/2019	1	05/12/2019	26/11/2019	1
7	Health & Safety	SBU-1920-006	Director of Nursing & Patient Experience	Q4	07/02/2020	1	21/02/2020	11/02/2020	1	03/03/2020				14/01/1900	
8	Fire Safety		Director of Nursing & Patient Experience	Q4			14/01/1900				21/01/1900			14/01/1900	
Strategic planning, performance management and reporting															
9	Partnerships		Director of Strategy	Q3			14/01/1900				21/01/1900			14/01/1900	
10	IMTP Annual Plan: Quality Impact Assessment	SBU-1920-009	Director of Strategy + Assistant Director of Performance	Q3	05/11/2019	1	03/12/2019	05/11/2019	1	21/12/2019	23/12/2019	1	06/01/2020	23/12/2019	1
11	Commissioning Healthcare Services Level Agreement Interim Audit Report	SBU-1920-010	Director of Strategy	Q3	09/10/2019	1	23/10/2019	09/10/2019	1	30/10/2019	30/10/2019	1	13/11/2019	07/11/2019	1
12	Performance Management and reporting		Assistant Director of Performance + Chief Operating Officer	Q4			14/01/1900				21/01/1900			14/01/1900	
13	GP Out of Hours Services: Quality Standards Reporting	SBU-1920-012	Chief Operating Officer	Q2	13/09/2019	1	27/09/2019	30/09/2019	1	21/10/2019	17/10/2019	1	31/10/2019	21/10/2019	1
Financial Governance and management															
14	Budgetary Control & Financial Reporting		Director of Finance	Q3			14/01/1900				21/01/1900			14/01/1900	
15	General Financial Ledger	SBU-1920-014	Director of Finance	Q3	30/11/2019	1	14/12/2019	30/11/2019	1	28/12/2019	06/12/2019	1	20/12/2019	19/12/2019	1
16	Welsh Risk Pool Claims	SBU-1920-015	Director of Nursing & Director of Finance	Q3	30/08/2019	1	13/09/2019	30/08/2019	1	20/09/2019	20/09/2019	1	04/10/2019	26/09/2019	1
17	Procurement & Tendering No PO/No Pay	SBU-1920-016	Director of Finance	Q2	27/11/2019	1	11/12/2019	27/11/2019	1	18/12/2019	17/12/2019	1	31/12/2019	19/12/2019	1
Clinical governance quality and safety															
18	Annual Quality Statement	SBU-1920-017	Director of Nursing & Patient Experience	Q1	16/05/2019	1	30/05/2019	17/05/2019	1	31/05/2019	07/06/2019	1	21/06/2019	10/06/2019	1
19	Clinical Governance / Clinical Services Plan		Chief Operating Officer	Q3			14/01/1900				21/01/1900			14/01/1900	
20	Infection Prevention & Control	SBU-1920-019	Director of Nursing & Patient Experience	Q2	28/06/2019	1	12/07/2019	28/06/2019	1	19/07/2019	18/07/2019	1	01/08/2019	18/07/2019	1
21	Prevention & Management of Inpatient Falls	SBU-1920-020	Director of Nursing & Patient Experience	Q2	08/08/2019	1	22/08/2019	08/08/2019	1	02/09/2019	04/09/2019	1	18/09/2019	04/09/2019	1
22	WHO Checklist	SBU-1920-021	Medical Director	Q2	04/06/2019	1	18/06/2019	11/06/2019	1	14/07/2019	14/07/2019	1	28/07/2019	23/07/2019	1
23	Medical Equipment & Devices: Replacement Prioritisation	SBU-1920-022	Medical Director	Q2	31/10/2019	1	14/11/2019	31/10/2019	1	02/12/2019	09/12/2019	1	23/12/2019	09/12/2019	1
24	DoLS Follow Up	SBU-1920-023	Director of Nursing & Patient Experience	Q3	30/08/2019	1	13/09/2019	04/09/2019	1	25/09/2019	03/10/2019	1	17/10/2019	07/10/2019	1
25	Medicines Management (incl CDs & incidents)	SBU-1920-024	Medical Director	Q1	31/05/2019	1	14/06/2019	31/05/2019	1	29/06/2019	21/06/2019	1	05/07/2019	25/06/2019	1
26	Discharge Planning (cfwd 17/18)		Director of Nursing & Patient Experience	Q3			14/01/1900				29/01/1900			14/01/1900	
27	Mortality Reviews		Medical Director	Q3			14/01/1900				29/01/1900			14/01/1900	
28	Nursing Quality Assurance Scheme (Follow Up Review)	SBU-1920-027	Director of Nursing & Patient Experience	Q3	30/09/2019	1	14/10/2019	30/09/2019	1	21/10/2019	07/11/2019	1	21/11/2019	11/11/2019	1
Information Governance and Security															
29	Discharge Summaries		Medical Director	Q3			14/01/1900				28/01/1900			14/01/1900	
30	IT Application Systems - TOMS	SBU-1920-029	Chief Information Officer	Q3	31/10/2019	1	14/11/2019	31/10/2019	1	05/12/2019	27/12/2019	1	10/01/2020	14/01/2020	1
31	IT Infrastructure Assets (Follow Up)	SBU-1920-030	Chief Information Officer	Q3	21/02/2020	1	06/03/2020	25/02/2020	1	17/03/2020				14/01/1900	

SWANSEA BAY UNIVERSITY HEALTH BOARD

INTERNAL AUDIT REGISTER 2019/20

Audit Assurance Rating Key		
Substantial Assurance	Some Assurance	
Reasonable Assurance	No Assurance	

Progress Monitoring of Approved Plan			Report Ref. No.	Executive Lead	Completion of Work			Due	Draft Report			Management Responses			Due	Final Report			Audit Assurance Rating / Audit Committee Date	
					Planned Finish	Actual Finish	Completion		Issued	Completion		Received	Completion			Issued	Completion			
							On time			Late	On time		Late	On time			Late	On time		Late
32	IT Digital Strategy/Clinical Information Reporting		Chief Information Officer	Q3			14/01/1900				21/01/1900			14/01/1900						
Operational service and functional management																				
33	HR&OD Directorate		Director of Workforce	Q3			14/01/1900				21/01/1900			14/01/1900						
34	Unit Governance: Primary Care and Community Services Unit	SBU-1920-033	Chief Operating Officer	Q2	13/09/2019	1	27/09/2019	13/09/2019	1	11/11/2019	08/11/2019	1	22/11/2019	11/11/2019	1		21-Nov-19			
35	Unit Governance: Mental Health & Learning Disabilities Unit	SBU-1920-034	Chief Operating Officer	Q2	28/06/2019	1	12/07/2019	10/07/2019	1	31/07/2019	26/07/2019	1	09/08/2019	01/08/2019	1		19-Sep-19			
36	Morriston Hospital Cardiac Services	SBU-1920-035	Chief Operating Officer	Q2	19/07/2019	1	02/08/2019	31/07/2019	1	21/08/2019	21/08/2019	1	04/09/2019	22/08/2019	1		19-Sep-19			
37	Continuing Health Care (Integrated Care Fund)		Chief Operating Officer	Q3			14/01/1900				21/01/1900			14/01/1900						
38	Hospital Sterilization & Disinfectant Unit (H.S.D.U)	SBU-1920-037	Chief Operating Officer	Q2	01/08/2019	1	15/08/2019	05/08/2019	1	27/08/2019	21/08/2019	1	04/09/2019	03/09/2019	1		19-Sep-19			
39	Patient Environment	SBU-1920-038	Chief Operating Officer	Q2	11/07/2019	1	25/07/2019	19/07/2019	1	09/08/2019	01/10/2019	1	15/10/2019	02/10/2019	1		21-Nov-19			
Workforce management																				
40	Workforce & Organisational Development Framework	SBU-1920-039	Director of Workforce	Q3	23/12/2019	1	06/01/2020	24/12/2019	1	29/01/2020	29/01/2020	1	19/02/2020	19/02/2020	1		17-Apr-20			
41	Consultant Contract / Job Planning		Medical Director	Q4			14/01/1900				21/01/1900			14/01/1900						
42	Nurse Staffing Levels (Wales) Act	SBU-1920-041	Director of Nursing & Patient Experience	Q2	28/06/2019	1	12/07/2019	28/06/2019	1	19/07/2019	31/07/2019	1	14/08/2019	01/08/2019	1		19-Sep-19			
43	BBG-Checkme Disclosure and Barring Service (DBS) Checks	SBU-1920-042	Director of Workforce	Q3	16/12/2019	1	30/12/2019	16/12/2019	1	14/01/2020	17/01/2019	1	31/01/2019	17/01/2019	1		14-Feb-20			
44	Nurse Rostering	SBU-1920-043	Director of Nursing & Patient Experience	Q3	24/12/2019	1	07/01/2020	24/12/2019	1	17/01/2020	24/01/2020	1	07/02/2020	20/02/2020		1	17-Apr-20			
45	Locum on Duty		Medical Director	Q4			14/01/1900				22/01/1900			14/01/1900						
Capital and Estates Management																				
18/19 Audit Plan																				
46	Estates Assurance: Safe Water Management c/f 18/19	ABM 18-19 09	Director of Strategy	Q3	10/01/2019	1	24/01/2019	24/01/2019	1	14/02/2019	23/05/2019	1	06/06/2019	24/05/2019	1		18-Jul-19			
47	Informatics Modernisation Programme-IM&T:Installation of Wireless Network Infrastructure c/f 18/19	ABM 18-19 06	Chief Operating Officer	Q4	09/05/2019	1	23/05/2019	09/05/2019	1	30/05/2019	18/06/2019	1	02/07/2019	02/07/2019	1		15-Jul-19			
48	Capital Projects: Environmental/Infrastructure Modernisation Programme c/f 18/19	ABM 18-19 05	Director of Strategy	Q3	16/01/2019	1	30/01/2019	23/01/2019	1	13/02/2019	05/06/2019	1	19/06/2019	27/06/2019		1	15-Jul-19			
49	Capital Projects-Transitional Care Unit/Neonatal and Paediatrics Capacity Neonatal & Post Natal Capacity at Singleton Hospital c/f 18/19	ABM 18-19 03	Director of Strategy	Q2	01/10/2019	1	15/10/2019	11/10/2019	1	01/11/2019	05/11/2019	1	19/11/2019	06/11/2019	1		21-Nov-19			
50	Major Strategic Investment Programmes: ARCH Programme c/f 18/19		Director of Strategy	Q2																
51	Capital Projects: Primary and Community Care Infrastructure Projects c/f 18/19		Director of Strategy	Q2			14/01/1900				21/01/1900			14/01/1900						
Capital and Estates Management																				
19/20 Audit Plan																				
52	Environmental Sustainability Report	ABM 19-20 10	Chief Operating Officer	Q2	05/07/2019	1	19/07/2019	16/07/2019	1	06/08/2019	04/10/2019	1	18/10/2019	04/10/2019	1		21-Nov-19			
53	Carbon Reduction Commitment	ABM 19-20 11	Chief Operating Officer	Q2	05/07/2019	1	19/07/2019	16/07/2019	1	06/08/2019	04/10/2019	1	18/10/2019	04/10/2019	1		21-Nov-19			
54	Capital Systems - Financial Safeguarding	SBU 19-20 07	Chief Operating Officer	Q2	14/10/2019	1	28/10/2019	23/10/2019	1	13/11/2019	12/11/2019	1	26/11/2019	13/11/2019	1		16-Jan-19			
55	Estates Assurance: Management of Contractors		Chief Operating Officer	Q2			14/01/1900				21/01/1900			14/01/1900						
56	Singleton Hospital Replacement Cladding		Director of Strategy	Q3			14/01/1900				21/01/1900			14/01/1900						
57	Primary and Community Care Infrastructure Projects		Director of Strategy	Q4																
58	Environmental / Infrastructure Modernisation Programme		Director of Strategy	Q4																
59	Informatics Modernisation Programme		Chief Operating Officer	Q4																
60	Follow Up (Estates Assurance)		Director of Strategy / Chief Operating Officer	Q4																
61	Follow Up (Capital)		Director of Strategy	Q4			14/01/1900				21/01/1900			14/01/1900						