



GIG
CYMRU
NHS
WALES

Bwrdd Iechyd Prifysgol
Bae Abertawe
Swansea Bay University
Health Board



Meeting Date	9th March 2021	Agenda Item	2.1
Report Title	Audit Registers and Status of Recommendations Review of Limited Assurance Reports		
Report Author	Len Cozens, Head of Compliance		
Report Sponsor	Pam Wenger, Director of Corporate Governance		
Presented by	Len Cozens, Head of Compliance		
Freedom of Information	Open		
Purpose of the Report	The purpose of this report is to provide the Audit Committee with an update on progress in responding to recommendations made by NWSSP Audit & Assurance, focussing on those reports that carried 'Limited' assurance ratings.		
Key Issues	<p>The report includes all updates to audit registers made up to 19th February 2019. Any updates made after that date are not reflected herein.</p> <p>Detail regarding the original audit finding(s), together with the narrative of the recommendation have been provided in order to give appropriate context to the management response and any subsequent update comments.</p>		
Specific Action Required (please choose one only)	Information	Discussion	Assurance
	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Recommendations	<p>Members are asked to:</p> <ul style="list-style-type: none"> NOTE the progress made in implementing recommendations contained within 'Limited' assurance reports issued by NWSSP Audit & Assurance. 		

AUDIT REGISTERS AND STATUS OF RECOMMENDATIONS

REVIEW OF LIMITED ASSURANCE REPORTS

1. INTRODUCTION

- 1.1 The purpose of this report is to provide the Audit Committee with an update on progress in responding to recommendations made by NWSSP Audit & Assurance, focussing on those reports that carried 'Limited' assurance ratings.

2. BACKGROUND AND CONTEXT

- 2.1 The Audit Committee receives and considers a regular report as part of normal business, which provides information and assurance in respect of:
- The delivery of the Audit Plans;
 - Receipt of draft and final reports; and
 - Health Board management responses to recommendations contained therein
- 2.2 Action plans in respect of all final audit reports are available on the Finance Portal through SharePoint for managers and executives to access and update throughout the year. Training has been provided to executives and the named managers within the action plans. The deadlines for the reporting periods to the Executive Team and Audit Committee are clearly set out within the file set up.

3. STATUS UPDATE

- 3.1 As requested by the Committee at its last meeting, this update focusses exclusively on those reports issued by NWSSP Audit & Assurance which received a 'Limited' assurance rating, and which contain outstanding recommendation(s) which have not yet been completed and are now overdue.
- 3.2 The report includes all updates to audit registers made up to 19th February 2019. Any updates made after that date are not reflected herein.
- 3.3 A status summary table has been included at **Appendix 1**. A more detailed table identifying the individual recommendations that remain outstanding, together with the latest updates/comments provided by the relevant executive lead or responsible manager is at **Appendix 2**.

4. FINANCIAL IMPLICATIONS

- 4.1 There are no direct financial implications arising from this report.

5. RECOMMENDATIONS

- 5.1 Members are asked to:
- **NOTE** the progress made in implementing recommendations contained within 'Limited' assurance reports issued by NWSSP Audit & Assurance.

Governance and Assurance		
Link to Enabling Objectives (please choose)	Supporting better health and wellbeing by actively promoting and empowering people to live well in resilient communities	
	Partnerships for Improving Health and Wellbeing	<input type="checkbox"/>
	Co-Production and Health Literacy	<input type="checkbox"/>
	Digitally Enabled Health and Wellbeing	<input type="checkbox"/>
	Deliver better care through excellent health and care services achieving the outcomes that matter most to people	
	Best Value Outcomes and High Quality Care	<input checked="" type="checkbox"/>
	Partnerships for Care	<input type="checkbox"/>
	Excellent Staff	<input checked="" type="checkbox"/>
	Digitally Enabled Care	<input type="checkbox"/>
	Outstanding Research, Innovation, Education and Learning	<input type="checkbox"/>
Health and Care Standards		
(please choose)	Staying Healthy	<input type="checkbox"/>
	Safe Care	<input checked="" type="checkbox"/>
	Effective Care	<input checked="" type="checkbox"/>
	Dignified Care	<input checked="" type="checkbox"/>
	Timely Care	<input checked="" type="checkbox"/>
	Individual Care	<input type="checkbox"/>
	Staff and Resources	<input checked="" type="checkbox"/>
Quality, Safety and Patient Experience		
Outstanding audit recommendations may affect quality, safety and patient experience. It is essential that where audit recommendations are made, they are acted upon with leadership from the relevant Executive Director. Reports addressing quality and safety issues are discussed in more detail in the Quality & Safety Committee.		
Financial Implications		
Whilst there are no direct financial implications that need to be highlighted in this report, there may be issues arising from individual audit reports or recommendations made which have financial implications for the health board.		
Legal Implications (including equality and diversity assessment)		
Failure to address audit recommendations relating to areas such as staff and/or patient safety, or legislative compliance, may lead to action being taken against the health board.		
Staffing Implications		
There are no staffing implications associated with this paper.		
Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015)		
A robust Governance Work Programme will assist the Board in assessing risk and gathering assurance across all corporate objectives, which span the five ways of working, and the wellbeing goals identified in the Act.		
Report History	N/A	
Appendices	Appendix 1	Outstanding Recommendation Summary Table
	Appendix 2	Outstanding Recommendation – Detailed Report.

**SUMMARY OF 'LIMITED' ASSURANCE REPORTS
WITH OUTSTANDING RECOMMENDATIONS**

Report Title	Total No. of Recommendations	Complete	High Priority Overdue	Medium Priority Overdue	Low Priority Overdue
Executive Lead – Chief Operating Officer					
Backlog Maintenance	12	10	1	1	0
Capital Systems Fin. Safeguarding	15	12	1	1	1
HTA Mortuary Part 2	8	2	1	5	0
Executive Lead – Director of Corporate Governance					
Board Assurance Framework	2	1	0	1	0
Risk Management & Board Assurance Framework	13	12	0	1	0
Executive Lead – Director of Finance					
Procurement No PO – No Pay	8	3	3	2	0
Executive Lead – Director of Workforce & Organisational Development					
Staff Performance Management & Appraisal	4	1	3	0	0
EWTD Portering Services	7	6	1	0	0

Report Title	Total No. of Recommendations	Complete	High Priority Overdue	Medium Priority Overdue	Low Priority Overdue
Executive Lead – Director of Public Health					
Vaccination & Immunisation	18	17	0	1	0
Executive Lead – Director of Nursing & Patient Experience					
Fire Safety Follow Up (2)	5	3	1	1	0
Safe Water Management	14	13	1	0	0
Health & Safety	17	12	0	3	2
Director of Strategy					
Systems DoI & Risk Management	17	8	1	7	1
Executive Medical Director					
WHO Checklist	9	6	0	3	0
Mortality Review Follow Up 2018	2	0	2	0	0
Medical L/T Cover	3	2	0	1	0