

ABM UNIVERSITY HEALTH BOARD

INTERNAL AUDIT REGISTER 2017/18

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
					Completion		Due	Issued	Completion		Due	Received	Completion		Due	Issued	Completion		
			Report Ref. No.	Executive Lead	Planned Finish	Actual Finish	On time	Late		On time	Late			On time	Late		On time	Late	
Audit & Assurance																			
Corporate governance, risk and regulatory compliance																			
1	Governance, Leadership and Accountability	ABM-1718-001	Chief Executive / Director of Governance	EOY															
2	Annual Governance Statement	ABM-1718-002	Chief Executive / Director of Governance	EOY															
3	Risk Management & Assurance	ABM-1718-003	Director of Nursing	Q2	29/09/2017	1		13/10/2017	29/09/2017	1		03/11/2017	02/11/2017	1		16/11/2017	03/11/2017	1	16-Nov-17
4	Corporate Legislative Compliance	ABM-1718-004	Chief Executive / Director of Governance	Q2	28/11/2017		1	12/12/2017	29/11/2017	1		20/12/2017							
5	Corporate Governance																		
6	Board Assurance Framework																		
Audit Committee approval sought to defer to 2018/19																			
7	Primary Care Clusters Governance	ABM-1718-007	Chief Operating Officer	Q3	30/11/2017	1		14/12/2017	30/11/2017	1		21/12/2017	22/12/2017		1	05/01/2018	22/12/2018	1	23-Jan-18
8	Partnership Governance: ARCH (deferred from 2016/17)																		
Audit Committee approval sought to defer to 2018/19																			
9	Health & Safety	ABM-1718-009	Sian Harrop-Griffiths	Q2	15/12/2017		1	29/12/2017	15/12/2017	1		12/01/2018	21/01/2018		1	04/02/2018	22/01/2018	1	15-Mar-18
10	Fire Safety	ABM-1718-010	Sian Harrop-Griffiths	Q1	05/07/2017		1	19/07/2017	06/07/2017	1		15/08/2017	15/08/2017	1		29/08/2017	30/08/2017	1	14-Sep-17
11	Fire Safety (Follow Up)	ABM-1718-109	Sian Harrop-Griffiths	Q4	28/02/2018	1		14/03/2018	28/02/2018	1		21/03/2018	21/05/2018		1	04/06/2018	22/05/2018	1	19-Jul-18
Strategic planning, performance management and reporting																			
12	Integrated Medium Term Plan Annual Planning: Engagement & Integration	ABM-1718-011	Sian Harrop-Griffiths	Q3	30/04/2018		1	14/05/2018	30/04/2018	1		22/05/2018	22/05/2018	1		05/06/2018	22/05/2018	1	19-Jul-18
13	Performance Management and Reporting	ABM-1718-012	Sian Harrop-Griffiths	Q3	31/01/2018	1		14/02/2018	31/01/2018	1		21/02/2018	22/02/2018	1		08/03/2018	26/02/2018	1	15-Mar-18
14	Third Sector Commissioning Review / Contracts	ABM-1718-013	Sian Harrop-Griffiths	Q1	27/06/2017	1		11/07/2017	30/06/2017	1		21/07/2017	13/11/2017		1	27/11/2017	15/11/2017	1	23-Jan-18
Financial Governance and management																			
15	Budgetary Control & Financial Reporting	ABM-1718-014	Lynne Hamilton	Q3	31/01/2018		1	14/02/2018	31/01/2018	1		21/02/2018	26/02/2018	1		12/03/2018	26/02/2018	1	15-Mar-18
16	General Financial Ledger	ABM-1718-015	Lynne Hamilton	Q3	13/12/2017	1		27/12/2017	14/12/2017	1		11/01/2018	06/01/2018	1		20/01/2018	08/01/2018	1	23-Jan-18
17	Welsh Risk Pool Claims	ABM-1718-016	Angela Hopkins	Q4	14/08/2017	1		28/08/2017	30/08/2017		1	20/09/2017	30/08/2017	1		13/09/2017	04/09/2017	1	16-Nov-17
18	Medical Devices: Home Equipment—Maintenance-Contract Payments (Dialysis, etc)	ABM-1718-017	Lynne Hamilton	Q2	20/03/2018		1	03/04/2018	27/03/2018	1		17/04/2018	04/05/2018		1	18/05/2018	11/05/2018	1	19-Jul-18
19	Non Pay Expenditure - Local Controls Goods Receipting	ABM-1718-018	Lynne Hamilton	Q2	25/04/2018		1	09/05/2018	27/04/2018	1		19/05/2018	04/07/2018		1	18/07/2018	06/07/2018	1	31-Jul-18
20	Fund Held on Trust: GOLAU Governance Review	ABM-1718-112	Lynne Hamilton	-	18/01/2018	1		01/02/2018	25/01/2018	1		15/02/2018	05/02/2018	1		19/02/2018	05/02/2018	1	15-Mar-18
Clinical governance quality and safety																			
21	Annual Quality Statement	ABM-1718-019	Hamish Laing	Q2	24/08/2017	1		07/09/2017	24/08/2017	1		14/09/2017	29/08/2017	1		12/09/2017	29/08/2017	1	N/A
22	Putting Things Right																		
23	Patient Reported Experience & Outcome Measures (PROMS)																		
24	Clinical Audit & Assurance																		
Approval has been sought from AC to defer for reconsideration in 2018/19																			
Audit Committee approval sought to defer to 2018/19																			
25	Pressure Ulcers (deferred from 2016/17)	ABM-1718-023	Angela Hopkins	Q3	23/08/2017	1		06/09/2017	25/08/2017	1		15/09/2017	25/10/2017		1	08/11/2017	25/10/2017	1	16-Nov-17
26	Medical Equipment & Devices (Maintenance)	ABM-1718-024	Hamish Laing	Q2	29/09/2017	1		13/10/2017	29/09/2017	1		20/10/2017	22/10/2017		1	05/11/2017	24/10/2017	1	16-Nov-17
27	POVA (Unit High Risks are PDS) Deprivation of Liberty Safeguards	ABM-1718-025	Angela Hopkins	Q2	01/08/2017	1		15/08/2017	02/08/2017	1		31/08/2017	05/10/2017	1		19/10/2017	05/10/2017	1	16-Nov-17
28	Discharge Processes Follow Up																		
29	Primary Care - Core Quality & Delivery Measures	ABM-1718-027	Chris White	Q2	13/12/2017		1	27/12/2017	15/12/2017	1		12/01/2018	12/01/2018	1		26/01/2018	22/01/2017	1	15-Mar-18
30	Safety Alerts Follow Up *added*	ABM-1718-111	Sian Harrop-Griffiths	Q3	11/01/2017	1		25/01/2017	11/01/2017	1		01/02/2017	05/02/2018		1	19/02/2018	05/02/2018	1	15-Mar-18
31	Medical Devices & Equipment Maintenance (Follow Up)	ABM-1718-113	Hamish Laing	Q4	06/04/2018	1		20/04/2018	06/04/2018	1		27/04/2018	23/05/2018		1	06/06/2018	24/05/2018	1	19-Jul-18
Information Governance and Security																			
32	Data Quality - Follow Up Reviews (Mental Health Measure) *added*	ABM-1718-028	Hamish Laing	Q2 Q3	15/12/2017	1		29/12/2017	15/12/2017	1		12/01/2018	10/01/2018	1		24/01/2018	11/01/2018	1	15-Mar-18
33	IT Infrastructure Assets	ABM-1718-029	Hamish Laing	Q3	15/03/2018		1	29/03/2018	22/03/2018	1		16/04/2018	19/04/2018		1	03/05/2018	21/05/2018	1	19-Jul-18
34	Information Governance Framework and Information Assurance (deferred from 2016/17)	ABM-1718-030	Hamish Laing	Q2	30/11/2017		1	14/12/2017	30/11/2017	1		21/12/2017	21/12/2017	1		04/01/2018	21/12/2017	1	23-Jan-18
35	Follow Up Not Booked - Reporting	ABM-1718-031	Hamish Laing	Q3															
36	IT / Cyber Security																		
Removed from Plan (Audit Committee September 2017)																			
37	Data Quality - Follow Up Reviews (Stroke) *added*	ABM-1718-102	Sian Harrop-Griffiths	Q4	04/04/2018		1	18/04/2018	04/04/2018	1		25/04/2018	06/04/2018	1		20/04/2018	17/04/2018	1	19-Apr-18
Operational service and functional management																			
38	Singleton Hospital Unit Governance Review	ABM-1718-032	Chris White	Q1	22/06/2017	1		06/07/2017	23/06/2017	1		14/07/2017	20/07/2017		1	03/08/2017	24/07/2017	1	14-Sep-17
39	Neath Port Talbot & Clinical Support Unit Governance Review	ABM-1718-033	Chris White	Q1	04/07/2017		1	18/07/2017	04/07/2017	1		25/07/2017	07/08/2017		1	21/08/2017	11/08/2017	1	14-Sep-17
40	HR&OD Directorate Follow Up	ABM-1718-034	Kate Lorenti	TBA															
41	Executive Medical Directorate Governance Review	ABM-1718-035	Hamish Laing	Q2	10/08/2017	1		24/08/2017	11/08/2017	1		15/09/2017	13/09/2017	1		27/09/2017	13/09/2017	1	16-Nov-17
42	Nursing Directorate	ABM-1718-036	Angela Hopkins	Q1	29/06/2017	1		13/07/2017	30/06/2017	1		21/07/2017	31/07/2017		1	14/08/2017	02/08/2017	1	14-Sep-17
43	Finance Directorate	ABM-1718-037	Lynne Hamilton	Q3	17/04/2018		1	01/05/2018	17/04/2018	1		09/05/2018	09/05/2018	1		23/05/2018	09/05/2018	1	19-Jul-18
44	Community Dentistry	ABM-1718-038	Chris White	Q2	28/11/2017		1	12/12/2017	28/11/2017	1		19/12/2017	21/12/2017		1	04/01/2018	22/12/2017	1	23-Jan-18
45	Mental Health & Learning Disabilities Unit Governance Follow-up Review	ABM-1718-039	Chris White	Q2	02/11/2017		1	16/11/2017	07/11/2017	1		28/11/2017	27/11/2017	1		11/12/2017	28/11/2017	1	23-Jan-18
46	GP Managed Practices																		
Removed from Plan (Audit Committee September 2017)																			
46	Executive Medical Directorate (Follow Up)	ABM-1718-107	Hamish Laing	Q4	23/03/2018	1		06/04/2018	26/03/2018	1		16/04/2018	26/03/2018	1		09/04/2018	26/03/2018	1	19-Apr-18
Workforce management																			
47	Staff Performance Management and Appraisals	ABM-1718-041	Kate Lorenti	Q2	31/08/2017	1		14/09/2017	31/08/2017	1		21/09/2017	24/09/2017		1	08/10/2017	05/10/2017	1	16-Nov-17
48	Workforce Delivery Plan Actions: Limited Scope Review (deferred from 16/17)	ABM-1718-042	Kate Lorenti	Q2	30/01/2018		1	13/02/2018	31/01/2018	1		21/02/2018	14/02/2018	1		28/02/2018	20/02/2018	1	15-Mar-18
49	Statutory and Mandatory Training	ABM-1718-043	Kate Lorenti	Q2	01/08/2017	1		27/07/2017	02/08/2017	1		23/08/2017	17/08/2017	1		31/08/2017	24/08/2017	1	14-Sep-17
50	Medical Staff Revalidation																		
Audit Committee approval sought to defer to 2018/19																			

ABM UNIVERSITY HEALTH BOARD

INTERNAL AUDIT REGISTER 2017/18

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
					Completion		Due	Issued	Completion		Due	Received	Completion		Due	Issued	Completion				
	Report Ref. No.	Executive Lead	Planned Finish	Actual Finish	On time	Late			On time	Late			On time	Late			On time	Late			
51	Organisational Change / Pay Bandings				Approval has been sought from AC to defer for reconsideration in 2018/19 following the appointment of the substantive DoHR.																
52	EWTB - Portering Services	ABM-1718-046	Kate Lorenti	Q2	18/04/2018	1	02/05/2018	26/04/2018	1		18/05/2018	18/05/2018	1		01/06/2018	21/05/2018	1		19-Jul-18		
53	Sickness Absence Management Follow Up (deferred from 2016/17) *added*	ABM-1718-103	Kate Lorenti		30/10/2017	1	13/11/2017	30/10/2017	1		20/11/2017	30/11/2017	1		14/12/2017	30/11/2017	1		23-Jan-18		
54	Nurse Rostering Follow Up (deferred from 2016/17)				Approval has been sought from AC to defer for reconsideration in 2018/19. Removed from plan (Audit Committee November 2017)																
55	Junior Doctor Bandings Follow Up (deferred from 2016/17)				Approval has been sought from AC to defer for reconsideration in 2018/19. Removed from plan (Audit Committee November 2017)																
56	Locum Medical Cover: Expenditure Controls *added*	ABM-1718-106	Lynne Hamilton		31/10/2017	1	14/11/2017	31/10/2017	1		21/11/2017	07/12/2017	1		21/12/2017	09/01/2018	1		23-Jan-18		
57	Corporate HR Follow Up (deferred from 2015/16)				Approval has been sought from AC to defer for reconsideration in 2018/19 following the appointment of the substantive DoHR																
Capital and Estates Management																					
17/18 Audit Plan																					
58	Informatics Programme (b/f)	ABM 16-17 04	Hamish Laing		16/06/2017	1	30/06/2017	16/06/2017	1		07/07/2017	15/08/2017	1		29/08/2017	17/08/2017	1		14-Sep-17		
59	Systems / CRL (b/f)	ABM 16-17 06	Sian Harrop-Griffiths	Q4	18/05/2017	1	01/06/2017	23/05/2017	1		13/06/2017	27/06/2017	1		11/07/2017	28/06/2017	1		20-Jul-17		
60	Backlog Maintenance (b/f)	ABM 16-17 09	Sian Harrop-Griffiths	Q3	04/07/2017	1	18/07/2017	02/08/2017	1	1	23/08/2017	26/09/2017	1		10/10/2017	09/10/2017	1		16-Nov-17		
61	Follow Up of Outstanding Capital Recommendations Follow Up	ABM 17-18 01	Sian Harrop-Griffiths		04/05/2018	1	18/05/2018	14/05/2018	1		04/06/2018	18/07/2018	1		01/08/2018	19/07/2018	1		20-Sep-18		
62	ARCH Programme				Audit Committee approval sought to defer to 2018/19																
63	Renal Ward Refurbishment	ABM 17-18 03	Sian Harrop-Griffiths		21/09/2017	1	05/10/2017	16/11/2017	1	1	07/12/2017	28/12/2017	1		11/01/2018	04/01/2018	1		23-Jan-18		
64	Transitional Care Unit / Neonatal and Paediatrics Capacity				Audit Committee approval sought to defer to 2018/19																