

Public Health Wales NHS Trust

Audit & Corporate Governance  
Committee  
Internal Audit Progress Report

September 2021

NWSSP Audit and Assurance Services

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Audit and Assurance Services conform with all Public Sector Internal Audit Standards as validated through the external quality assessment undertaken by the Institute of Internal Auditors

### Acknowledgement

NHS Wales Audit & Assurance Services would like to acknowledge the time and co-operation given by management and staff during the course of this review.

### Disclaimer notice - please note

This audit report has been prepared for internal use only. Audit & Assurance Services reports are prepared, in accordance with the Service Strategy and Terms of Reference, approved by the Audit & Corporate Governance Committee.

Audit reports are prepared by the staff of the NHS Wales Shared Services Partnership – Audit and Assurance Services, and addressed to Independent Members or officers including those designated as Accountable Officer. They are prepared for the sole use of Public Health Wales NHS Trust and no responsibility is taken by the Audit and Assurance Services Internal Auditors to any director or officer in their individual capacity, or to any third party.

## 1 Introduction

- 1.1 This progress report provides the Audit & Corporate Governance Committee (the 'Committee') with the current position regarding the work undertaken by Internal Audit as at **7 September 2021**. This report provides information on the status of progress of our reviews.
- 1.2 We report the progress made to date against individual assignments along with details regarding the delivery of the plans and any required updates.

## 2 Reports Issued

- 2.1 Since the June meeting of the Committee four reports have been finalised. A summary of these reviews is provided below in Table 1.

Table 1 – Summary of assurance reviews issued as final

Assignment	Assurance rating	High	Medium	Low	Total recommendations
Operational plan	Substantial	-	-	-	-
Staff wellbeing	Reasonable	-	2	1	3
Additional hours and overtime (2020/21)	Limited	4	3	1	8
Collaborative review: Management and governance of the implementation groups' funding allocations (2020/21 - Advisory)	N/A	-	-	-	-

### 3 Delivering the Plan

- 3.1 The detail of the scheduling and progress of the audit work is outlined in the assignment status schedule, which is included at Appendix A.
- 3.2 Our agreed performance indicators are set out in table 2 below:

Table 2 – Performance Indicators 2021/22

Indicator	Status	Actual	Target	Red	Amber	Green
Report turnaround: time from fieldwork completion to draft reporting [10 days]	Green	100% (2/2)	80%	v>20%	10%<v<20%	v<10%
Report turnaround: time taken for management response to draft report [15 days per Internal Audit Charter]	Green	100% (2/2)	80%	v>20%	10%<v<20%	v<10%
Report turnaround: time from management response to issue of final report [10 days]	Green	100% (2/2)	80%	v>20%	10%<v<20%	v<10%

Table 3 – Programme of work: 2021-22

Planned output	Outline timing	Status	Assurance	Note
Annual Governance Statement	Q1	Complete	N/A	-
Staff wellbeing	Q1	Final	Reasonable	-
Operational plan	N/A	Final	Substantial	Delayed start due to pandemic
New laboratory set up	Q1	WIP	-	Delayed start
Screening services	Q2	WIP	-	-
Recruitment	Q2	WIP	-	-
Data breach	Q2	Planning	-	Draft brief issued for approval. Slight delay due to annual leave.
IG toolkit	Q3	Planning	-	-
Culture: concerns and grievance	Q3/4	Planning	-	-
Health protection	Q3	-	-	-
Welsh Risk Pool claim process	Q3/4	-	-	-
Health and Care standards	Q4	-	-	-

Planned output	Outline timing	Status	Assurance	Note
Risk management	Q4	-	-	Management requested move to Q4 so updated process can bed in.
NIS Directive (Cyber security)	Q4	-	-	-
Population health	Q4	-	-	-
Personal development of medical and public health consultants	Q4	-	-	-
Impact of Brexit	N/A	N/A	N/A	Agreed with Committee to not take forward