

Public Health Wales NHS Trust

Audit & Corporate Governance
Committee
Internal Audit Progress Report

March 2022

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 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 **9 March 2022**. 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 January meeting of the Committee one report has been finalised and two have been issued in draft. A summary of the finalised review is provided below in table 1.

Table 1 – Summary of assurance reviews issued as final

Assignment	Assurance rating	High	Medium	Low	Total recommendations
Laboratory at IP5	Reasonable	-	2	-	2

3 Delivering the Plan

3.1 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	89% (8/9)	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	71% (5/7)	80%	v>20%	10%<v<20%	v<10%
Report turnaround: time from management response to issue of final report [10 days]	Green	100% (7/7)	80%	v>20%	10%<v<20%	v<10%

4 Planning for 2022/23

4.1 Our plan is on the Committee's agenda.

Table 3 – Programme of work: 2021-22

Planned output	Outline timing	Status	Assurance	Note
Annual Governance Statement	Q1	Complete	N/A	-
Health and Care standards	Q4	Complete	N/A	No formal report
Staff wellbeing	Q1	Final	Reasonable	-
Operational plan	N/A	Final	Substantial	-
Data breach	Q2	Final	Substantial	-
Recruitment	Q2	Final	Substantial	-
Screening – Reactivation of service plans	Q2	Final	Substantial	-
New laboratory set up	Q1	Final	Reasonable	-
Additional hours – follow up	N/A	Final	Reasonable	-
Culture: concerns and grievance	Q4	Draft	Reasonable	Draft report issued 01.03.22
Welsh Risk Pool claim process	Q4	Draft	Reasonable	Draft report issued 08.03.22
IG toolkit	Q3	WIP	-	Management request to start in Q4. Fieldwork started 11.02.22

Planned output	Outline timing	Status	Assurance	Note
NIS Directive (Cyber security)	Q4	WIP	-	Fieldwork scheduled for February, although may be delay. Fieldwork started 03.03.22
Microbiology stock	Q3	WIP	-	Fieldwork started 28.02.22
Risk management	Q4	Planned	-	Brief agreed.