

Public Health Wales NHS Trust

Audit & Corporate Governance
Committee
Internal Audit Progress Report

January 2022

NWSSP Audit and Assurance Services

Contents

1	Introduction	3
2	Reports Issued	3
3	Delivering the Plan	4
4	Planning for 2022/23	4



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.

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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 **13 January 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 September meeting of the Committee three reports have been finalised and two have been issued in draft. A summary of the finalised reviews is provided below in table 1.

Table 1 – Summary of assurance reviews issued as final

Assignment	Assurance rating	High	Medium	Low	Total recommendations
Data breach	Substantial	-	1	-	1
Recruitment	Substantial	-	-	1	1
Screening – Reactivation of service plans	Substantial	-	1	-	1

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 In our recent discussions with management there has been a request to make some amendments to our plan. These are:

- Due to pressures on the Trust brought about by the pandemic, delay our reviews in the areas of population health, and personal development of medical and public health consultants.
- Use the time allocated to review aspects of health protection to focus on microbiology stock.

3.3 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	86% (6/7)	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	80% (4/5)	80%	v>20%	10%<v <20%	v<10%
Report turnaround: time from management response to issue of final report [10 days]	Green	100% (5/5)	80%	v>20%	10%<v <20%	v<10%

4 Planning for 2022/23

4.1 We have started our planning discussions with the Trust and will meet with directors over the next few weeks. We aim to present the plan at the next meeting of the Committee.

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	-
Data breach	Q2	Final	Substantial	-
Recruitment	Q2	Final	Substantial	-
Screening – Reactivation of service plans	Q2	Final	Substantial	-
New laboratory set up	Q1	Draft	Reasonable	Delayed start. Draft report issued 20.12.21
Additional hours – follow up	N/A	Draft	Reasonable	Draft report issued 21.12.21
Culture: concerns and grievance	Q4	WIP	-	-
IG toolkit	Q3	Planned	-	Management request to start in Q4
Welsh Risk Pool claim process	Q4	Planned	-	-

Planned output	Outline timing	Status	Assurance	Note
NIS Directive (Cyber security)	Q4	Planned	-	Fieldwork scheduled for February, although may be delay.
Health protection	Q3	-	-	Management request to replace with microbiology stock review
Health and Care standards	Q4	-	-	No formal report
Risk management	Q4	Planning	-	Management requested move to Q4 so updated process can bed in.
Population health	Q4	-	-	Management request to delay due to restructure and pandemic.
Personal development of medical and public health consultants	Q4	-	-	Management request to delay due to pandemic.
Impact of Brexit	N/A	N/A	N/A	Agreed with Committee to not take forward