Public Health Wales NHS Trust

Audit & Corporate Governance Committee
Internal Audit Progress Report

October 2022

NWSSP Audit and Assurance Services

Contents

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 **6 October 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 June meeting of the Committee five reports has been finalised. A summary of the finalised review is provided below in table 1.

Table 1 – Summary of assurance reviews issued as final

Assignment	Assurance opinion	High	Medium	Low	Total recommendations
NIS directive – cyber security (21/22)	Reasonable	-	1	1	2
IG Toolkit (21/22)	Reasonable	1	1	-	2
Risk management (21/22)	Reasonable	-	3	-	3
Local public health teams	Substantial	-	1	1	2
Workforce – Sickness absence monitoring	Reasonable	2	3	1	6

3   Delivering the Plan

3.1   Our agreed performance indicators are set out in table 2 below:

Table 2 – Performance Indicators 2022/23

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%

Feedback

3.2   Our final reports are issued with a post audit questionnaire, which is our way of getting feedback on the audit process so that we can look to make improvements. For 2022/23 we have recently issued the questionnaires in relation to the one finalised report.

Table 3 – Programme of work: 2022/23

Planned output	Outline timing	Status	Assurance	Note
Local public health teams	3̶ 2	Final	Substantial	-
Workforce - sickness	2	Final	Reasonable	-
Finance	3̶ 2	WIP	-	Fieldwork ongoing
Health & Safety	1̶ 3	Planning	-	Plan for December start.
Information Governance review	2	Planning	-	Brief agreed. Fieldwork planned for October/November.
Cyber security	3̶ 4	Planned	-	Brief agreed.
Data - Information provision	1̶ 4	Planned	-	Brief agreed. Management requested to move to end of year.
Risk management	4	-	-	-
Welsh Risk Pool (WRP) claim process	4	-	-	-
Health Protection	4	-	-	-
Population health awareness	2̶ 3	-	-	Trust request to do late Q3 as new management in post.