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|  <p> GIG CYMRU NHS WALES </p> <p> Iechyd Cyhoeddus Cymru Public Health Wales </p> | <p> Name of Meeting Audit and Corporate Governance Committee Date of Meeting 29 January 2024 Agenda item: 3.1 </p> |
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Audit Recommendations Tracker

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| Executive lead: | Paul Veysey, Board Secretary and Head of Board Business Unit |
| Authors: | Liz Blayney, Deputy Board Secretary and Board Governance Manager |

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| Approval/Scrutiny route: | Liz Blayney, Deputy Board Secretary and Board Governance Manager |
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Purpose

The Leadership Team considers the Audit Tracker quarterly to track progress against agreed management actions in response to the recommendations of audit reviews.

The purpose of this report to provide a summary to the Audit and Corporate Governance Committee on a recent deep dive into the Audit Tracker by the Leadership Team for assurance on the management and progress to implement the recommendations of Audit reports.

Recommendation:

| APPROVE | CONSIDER | RECOMMEND | ADOPT | NOTE |
|--------------------------|-------------------------------------|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

The Committee is asked to:

- Take **assurance** the amendments to the Audit Tracker are being managed effectively by the Leadership Team



Link to Public Health Wales [Strategic Plan](#)

Public Health Wales has an agreed strategic plan, which has identified seven strategic priorities.

This report contributes to the following:

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| Strategic Priority | 7 - Building and mobilising knowledge and skills to improve health and well-being across Wales |
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Summary impact analysis

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| Equality and Health Impact Assessment | An EHIA is not required for this report. It should be noted that many of the areas of work reported on are likely to have had EHIAs undertaken. |
| Risk and Assurance | A number of individual audit reviews and actions are referenced in the Board Assurance Framework and Risk Registers. |
| Health and Social Care (Wales) Act | This report supports and/or takes into account the Quality Themes. |
| Financial implications | The report has no direct financial implications, although individual updates may include details of impacts. |
| People implications | The report has no direct people implications, although individual updates may include details of impacts. |



1. Purpose / situation

The purpose of this report is to provide an update to the Audit and Corporate Governance Committee on Implementation of recommendations from Audit Recommendations.

2. Background

The Leadership Team considers the Audit Tracker on a quarterly basis to track progress against agreed management actions in response to the recommendations of audit reviews, and is responsible to reviewing and approving requests for changes to implementation dates.

The Leadership Team is responsible for maintaining oversight of the planned activity and results of audit.

The Audit and Corporate Governance Committee considers an update on this Bi-annually at present, this will be increased to quarterly for 2024/25.

3. Deep Dive – Summary of consideration

Leadership Team considered an update on progress with the implementation of audit recommendations in November 2023. At their meeting on 16 November, the Leadership Team asked for a deep dive to review the current implementation dates, prior to approving any extension to these.

Following this request, Leadership Team members to complete an in depth review of recommendations within their Directorate and provide a detailed summary to LT for review.

This included scrutiny of 'the adequacy of executive and managements response to issues identified by audit, inspection and other assurance activity'. LT members were asked to include the following:

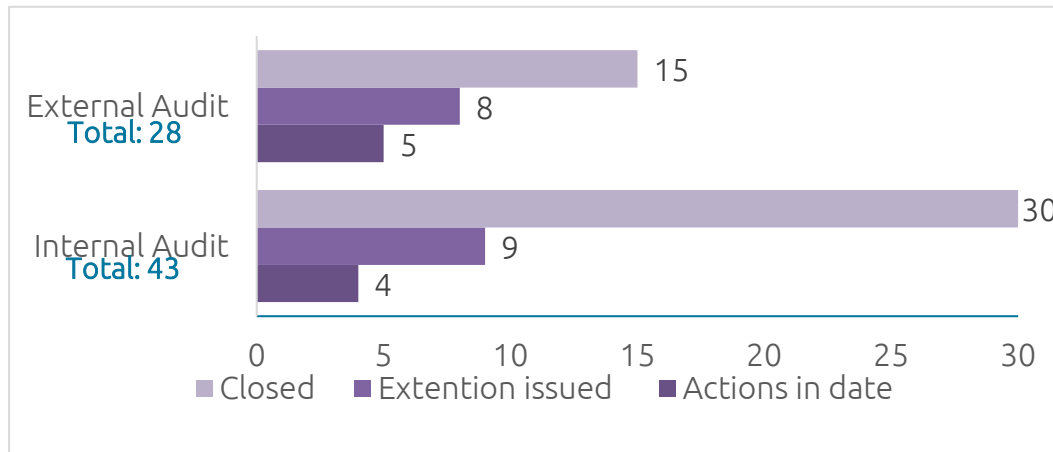
- The relevance of the action and whether the situation had changed since the report was issued.
- An update that provided assurance on how the action was being managed.
- Consideration of the timescales for extensions to dates and the level of confidence that the extended deadline was realistic and achievable.
- Risks of actions where deadlines had passed and how are these being addressed / mitigated.

A workshop was held on 7 December to review this deep dive information. A summary of the information provided and the review by LT at this workshop is provided to ACGC at Appendix 1.

4. Deep Dive – Summary of consideration

A summary of the current position following this deep dive was provided in the Integrated Performance Report to Board for December 2023. The following is taken from this report relating to Audit Recommendations.

The current position is as follows:





In Focus: External Audit Recommendations

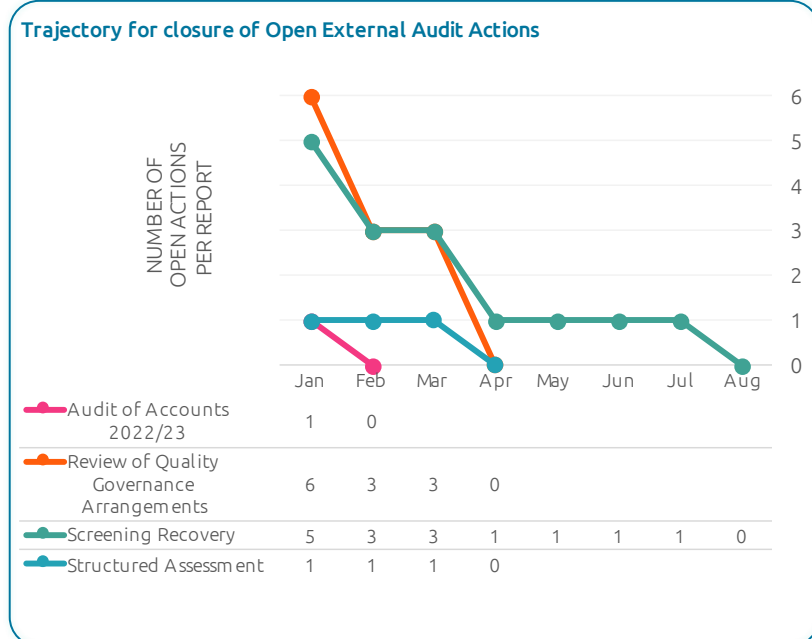
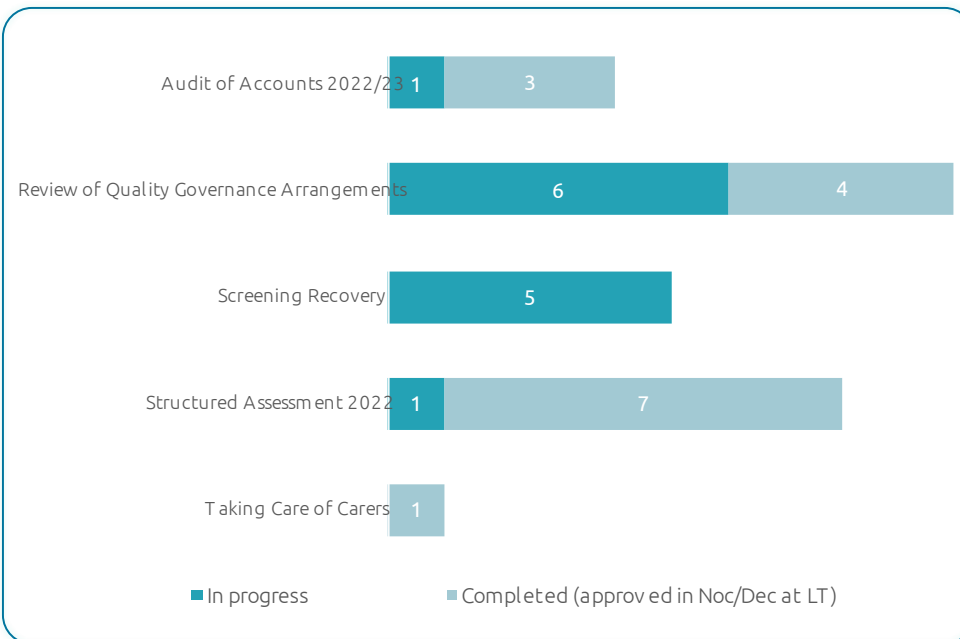
Section 1: Governance and Accountability



Current position as of 07 December 2023

Audit data updated quarterly

Detailed report being provided to ACGC on 29 January 2024



*No recommendations are currently ~~with~~ revised deadlines, as the deadlines were all reviewed and revised deadline dates approved following the deep dive.



In Focus: Internal Audit Recommendations

Section 1: Governance and Accountability



Current position as of 07 December 2023

Audit data updated quarterly

Risk Management 2020 (Reasonable Assurance)

- 1 open action, relating to the development to improve the identification and management of risk across the Health and Wellbeing Directorate. This was paused during the pandemic and organisational changes.
- This has recommenced as part of the Risk Development action plan.
- LT approved an extension to the end of January noting that there has been substantial progress to improve and embed the risk processes within HWB, and the extension requested was to fully complete the wider risk review work.

Risk Management 2023 (Reasonable Assurance)

- Actions relate to refreshing the Directorate level risk process, use of datix and the escalation of risk, and increasing capacity through the appointment of Head of risk.
- Original dates for the two actions was in August / September, which have been delayed due to the recruitment of the Head of Risk Post.

Health Protection Division Management arrangements (Substantial Assurance)

- 1 action open, due to be completed by the end of May in line with the original target date.

Information Provision (Reasonable Assurance)

- 2 actions open, due to be completed by the end of March in line with the original target date.

Population Health Grants (Limited Assurance)

- The changes recommended in the original audit have been implemented and reviewed and reaudited within the team. This has highlighted further work that needs to be undertaken to ensure that all processes and documentation align to the revised process. This work will be undertaken and completed by the end of February 2023 in time for the next grant period.
- One action not due to be completed until March in line with the original target date.

IG Toolkit (Reasonable Assurance)

- Action relates to the submission of a toolkit, was due to be completed by March 2023, delays due to competing pressures within the team. Action is underway to progress this by the extended target date of end of March 2024.

Health and Safety (Reasonable Assurance)

- Action relates to the review of policies, this is in progress and is being overseen by the Health and Safety Group. Original date was end of Quarter 1 2023/24, extended to the end of Quarter 4.

Financial Management (Substantial Assurance)

- 1 action relates to the review of the Budgetary Control Framework – this will be submitted for approval to ACGC on 29 January 2024.



In Focus: External Audit Recommendations

Section 1: Governance and Accountability



Current position as of 07 December 2023

Audit data updated quarterly

Detailed report being provided to ACGC on 29 January 2024

Review of Quality Governance Arrangements

- The 6 open actions have all been reviewed as part of the deep dive, revised target dates have been approved for all 6 actions.
- 3 of the actions were being reviewed as part of a paper on the refresh of the 'Our approach to engagement' which is being presented to BET in January 2024. This will provide a steer on the direction of travel for the development and implementation of the framework.
- As part of the deep dive, Leadership Team approved extension for the implementation of the revised framework, but noted that the timescale for full implementation was dependant on the discussion and direction from BET. A further update this in February 2024 is planned to review the timescales in more detail, and how the implementation would be embedded across the organisation.
- 1 action in relation to the review of the Equality and Quality Impact Assessments was extended to March as an interim extension, pending the outcome of a review of the process. Leadership Team have asked for a report following this review, at which point it will review the implementation timescales to ensure realistic.
- 1 action was due to be completed by December 2023 relating to the development of a procedure for Standing operating procedures at a local directorate level. Since the update on 07 December 2023, this has now been through the approval process.
- 1 action relating to data was being taken forward as part of a workshop held by the Digital, Data Design Authority to establish further information to help determine the future approach for a stakeholder database.

Structured Assessment

- 1 open action in progress by the original date (due 31 March 2024) regarding engagement which is being taken forward as part of the work on 'Our Approach to Engagement'. This is on the agenda of BET and QSIC in February for an update on progress.

Audit of Accounts 2022/23

- 1 open action relates to the development of several financial control documents. The original deadline for these was October 2023: Leadership Team approved an extension to end of January noting these documents were in the final stages of approval and scheduled on the ACGC agenda for approval on 29 January.

Screening Recovery

- The actions are all in progress by the original date, the appropriate action is in place to complete by the target date.
- One action was due in December 2023, related to the reporting to QSIC on screening has now been completed since the update on 07 December 2023, following a workshop at the Dec QSIC meeting.

Two further reports from Audit Wales are currently being finalised and due to be reported to ACGC in January 2024: **Workforce Planning Arrangements** and **the Structured Assessment 2023**

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The action plans put in place to address the various audits recommendations have long-term implications for the organisation, its governance and the provision of its services.



The action plans put in place to address the various audits recommendations strengthen the governance and provision of its services.



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The management responses to audit reviews were developed in collaboration with staff across the organisations



Responses have been provided by staff in the relevant areas across the organisation.

5. Recommendation

The Committee is asked to:

- Take **assurance** the amendments to the Audit Tracker are being managed effectively by the Leadership Team
- Note that the next update on the progress will be provided at ACGC in March 2024.