

Public Health Wales NHS Trust

Audit & Corporate Governance
Committee
Internal Audit Progress Report

March 2025

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 Chartered Institute of Public Finance & Accountancy in April 2023.

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 Non-Executive Directors 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.

Our work does not provide absolute assurance that material errors, loss or fraud do not exist. Responsibility for a sound system of internal controls and the prevention and detection of fraud and other irregularities rests with Public Health Wales NHS Trust. Work performed by internal audit should not be relied upon to identify all strengths and weaknesses in internal controls, or all circumstances of fraud or irregularity. Effective and timely implementation of recommendations is important for the development and maintenance of a reliable internal control system.

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 03 March 2025. 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 Delivering the Plan

2.1 A summarised position of the most recent finalised report, including a summary of the number of recommendations, is provided below in Table 1. Since the January meeting of the Committee we have issued three reports in draft and have ongoing fieldwork for one review.

Table 1 – Summary of the finalised report

Assignments	High	Medium	Low	Total	Assurance rating
Health protection and screening services (HPSS) - Procurement	-	2	-	2	Substantial
HPSS performance metrics	1	5	-	6	Reasonable
Welsh Risk Pool	-	-	-	-	Substantial

2.2 Our work in relation to 2024/25 is ongoing. Our progress is set out in Appendix A.

Feedback

2.3 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. We use Microsoft 'forms' to request feedback. We have issued questionnaires for six of the reports that we have completed.

3 Other activity

Meetings

3.1 We observe Board and committee meetings, and meet regularly with the Board Secretary and Head of the Board Business Unit, and with Audit Wales colleagues.

Planning 2025/26 Internal Audit programme

3.2 We have completed our discussions with both executive and non-executive directors. At the time of this progress report we are refining the areas of focus with the executive team.

Appendix A: Internal Audit Plan 2024/2025

Planned output	Outline Scope	Executive Lead	Status	Rating	Timing and Audit Committee	Notes
Board Assurance Framework – Strategic Risk	To consider the revised Board Assurance Framework and the approach to strategic risk.	Interim Executive Director of Quality, Nursing and Allied Health Professionals	Final	Substantial	Q1 / September	-
Duty of Candour	To consider the implementation of the duty of candour.	Interim Executive Director of Quality, Nursing and Allied Health Professionals	Final	Reasonable	Q2 / January	-
Health and Wellbeing planning	To consider financial planning and forecasting in the directorate and the impact on outcomes for the directorate.	National Director of Health and Wellbeing	Final	Reasonable	Q1 / January	-
Research and evaluation strategy	To consider the implementation and delivery of the strategy.	National Director for Public Health Knowledge and Research	Final	Reasonable	Q1 / January	-
Digital and data strategy	To consider the implementation and delivery of the strategy.	National Director for Public Health Knowledge and Research	Final	Reasonable	Q2 / January	-

Planned output	Outline Scope	Executive Lead	Status	Rating	Timing and Audit Committee	Notes
Records management	To consider how the Trust's approach to records management is embedding.	Executive Director of Quality, Nursing and Allied Health Professionals	Final	Reasonable	Q3 / March	-
Health protection and screening services (HPSS) - Procurement	To consider a directorate focus, to discuss specific areas - To include governance arrangements for consumables.	National Director of Health Protection and Screening Services and Executive Medical Director	Final	Substantial	Q2 / January	Draft report issued 11.02.25.
HPSS - Performance metrics	To consider the performance planning process.	National Director of Health Protection and Screening Services and Executive Medical Director	Final	Reasonable	Q2 / January	Draft report issued 19.02.25.
Welsh Risk Pool (WRP) claim process	WRP guidance requires IA input into the process for assurance.	Interim Executive Director of Quality, Nursing and Allied Health Professionals	Final	Substantial	Q4 / March	Draft report issued 24.02.25.
Duty of Quality	To consider the implementation of the duty of quality.	Interim Executive Director of Quality, Nursing and Allied Health Professionals	WIP	Q3	Q3/ March	Fieldwork started 16.01.25.

Planned output	Outline Scope	Executive Lead	Status	Rating	Timing and Audit Committee	Notes
NHS Wales Executive	To consider the governance that the Trust has developed in relation to its hosted body arrangements with the NHS Wales Executive.	Board Secretary and Head of the Board Business Unit	-	-	-	To be 2025/26.