

Public Health Wales NHS Trust

Audit & Corporate Governance  
Committee  
Internal Audit Progress Report

September 2024

NWSSP Audit and Assurance Services

## Contents

1	Introduction	3
2	Delivering the Plan	3
3	Other activity	3



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 3 September 2024. 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.

Table 1 – Summary of the finalised report

Assignments	High	Medium	Low	Total	Assurance rating
Board Assurance Framework – Strategic Risk	-	1	-	1	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, which should be an easier way for the Trust to provide us with valuable feedback.

## 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.

## Appendix A: Internal Audit Plan 2024/2025

Planned output	Outline Scope	Executive Lead	Status	Outline Timing by Quarter	Planned 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	Q1	September	-
Duty of Candour	To consider the implementation of the duty of candour.	Interim Executive Director of Quality, Nursing and Allied Health Professionals	Drafting	Q2	September	Completion delayed due to leave both with Trust and Audit. Draft report issued w/c 02.09.24
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	WIP	Q1	September	Fieldwork concluding – Delayed due to auditor on special leave.
Research and evaluation strategy	To consider the implementation and delivery of the strategy.	National Director for Public Health Knowledge and Research	WIP	Q1	September	Additional elements of fieldwork to conclude following review.

Planned output	Outline Scope	Executive Lead	Status	Outline Timing by Quarter	Planned Audit Committee	Notes
Digital and data strategy	To consider the implementation and delivery of the strategy.	National Director for Public Health Knowledge and Research	Planned	Q2	January	Brief agreed July 2024. Trust request fieldwork to start in September.
Health protection and screening services	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	Planned	Q2	January	Scoping meeting 23.07.24 with Executive. Second meeting to finalise 03.09.24.
Infection division	To consider the performance planning process, (including financial and workforce as appropriate). How metrics have been derived and how they are having impact.	National Director of Health Protection and Screening Services and Executive Medical Director	Planning	Q2	January	First scoping meeting 23.07.24. Have had additional meetings to work through scope. Still planning.
Records management	To consider how the Trust's approach to records management is embedding. Specific focus to be determined.	Executive Director of Quality, Nursing and Allied Health Professionals	-	Q3	March	Internal planning started – to arrange meeting with Executive/audit Leads
Duty Quality of	To consider the implementation of the duty of quality.	Interim Executive Director of Quality, Nursing and Allied	-	Q3	March	-

Planned output	Outline Scope	Executive Lead	Status	Outline Timing by Quarter	Planned Audit Committee	Notes
		Health Professionals				
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	-	Q4	March	-
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	-	Q4	TBC	-