

# APPENDIX 1

## Audit Recommendations Tracker scrutinised by Leadership Team - Open Actions - not due yet

Action No. ▾	Origin ▾	Report ▾	Date add... ▾	Remit Co... ▾	Report A... ▾	Recommendation ▾	Management Action Agreed ▾	Original Imple... ▾	Current Imp
472	Audit Wales	Review of Quality Governance Arrangements	01/08/2022	QSIC	N/A	R6 Service User and Staff Feedback. The Trust does not routinely and consistently collect information about the protected characteristics (under the Equality (Wales) Act) of its users, or of people taking part in research surveys. It does not consistently share learning from staff and user feedback or consistently let	<p>Agree with the recommendation.</p> <ul style="list-style-type: none"> <li>Develop organisational framework for engagement which outlines how engagement should be embedded in our key strategies and processes with impact and value</li> </ul>	01/10/2022	31/12/2024
474	Audit Wales	Review of Quality Governance Arrangements	01/08/2022	QSIC	N/A	Refer 472	<p>Agree with the recommendation.</p> <ul style="list-style-type: none"> <li>Implement recommendation from literature review of evaluation measures to develop an evaluation framework for engagement activity, with clear performance and outcome metrics measured on a regular basis that monitor the impact of our engagement activity</li> </ul>	01/11/2022	31/12/2024
515	Internal Audit	Health Protection Division Management Arrangements	01/05/2023	QSIC	Substantial assurance	(No recommendation recorded against this Agreed Action)	Perform an internal Audit review for incident reporting to ensure compliance against divisional and organisational standards for 2023/2024	01/05/2024	01/05/2024
549	Audit Wales	Screening Recovery Organisational Response	27/09/2023	ACGC	N/A	R1. The Trust should improve planning to match capacity to demand to understand how realistic its recovery timescales are and inform future service planning across its screening services by: a) incorporating predictable variation in demand and capacity	<p>R1. The Trust has recently appointed to Head of Operations for Screening Division and start date is being progressed. The Trust is currently recruiting a Deputy Head of Operations for Screening Division.</p> <p>This will improve capacity for oversight and leadership around demand and capacity management for the two programmes that have not fully recovered yet around the business support. Work will be taken forward to address these recommendations. This will include working with colleagues in Knowledge Directorate and Improvement Cymru to explore potential tools and processes.</p>	31/07/2024	31/07/2024
557	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	Delivering the People Strategy R1 The Trust has not assessed its capacity and capability to deliver its People Strategy or assess specific risks associated with delivery beyond its three-year IMTP. By the end of quarter 1, 2024-25, the Trust should incorporate assessments of risk and resources into its 2024-27	<p>R1 The Trust has not assessed its capacity and capability to deliver its People Strategy or assess specific risks associated with delivery beyond its three-year IMTP. By the end of quarter 1, 2024-25, the Trust should incorporate assessments of risk and resources into its 2024-27 IMTP as follows: 1.1. Set out the costs, staff capacity, skills and other resources associated with implementation of the next three years of the People Strategy, within its People and Organisational Development Directorate and across the business (high priority);</p> <p>Accepted</p> <p>Actions 1.1 and 1.2 will need to be completed in partnership with Finance / Planning Colleagues and would need to be integrated into the IMTP planning framework to achieve alignment and integration with the LTS.</p>	30/06/2024	31/03/2025
558	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	Delivering the People Strategy R1 The Trust has not assessed its capacity and capability to deliver its People Strategy or assess specific risks associated with delivery beyond its three-year IMTP. By the end of quarter 1, 2024-25, the Trust should incorporate assessments of risk and resources into its 2024-27	<p>As Action 557.</p> <p>1.2. Identify the specific risks associated with implementing the People Strategy and plans to manage those risks (high priority).</p> <p>Accepted</p> <p>Actions 1.1 and 1.2 will need to be completed in partnership with Finance / Planning Colleagues and would need to be integrated into the IMTP planning framework to achieve alignment and integration with the LTS.</p>	30/06/2024	30/03/2025
559	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	R2 The Trust is developing a comprehensive picture of current workforce capacity via its workforce toolkit but must ensure its workforce information is correct. In particular, the Trust needs accurate figures on its current establishment and vacancies. It also needs to understand future service demand and model the	<p>Developing workforce intelligence</p> <p>R2 The Trust is developing a comprehensive picture of current workforce capacity via its workforce toolkit but must ensure its workforce information is correct. In particular, the Trust needs accurate figures on its current establishment and vacancies. It also needs to understand future service demand and model the impact on future workforce requirements.</p> <p>The Trust should:</p> <p>2.1. Develop an approach to ensure the accuracy of data in the workforce toolkit and other internal workforce datasets by the end of quarter 1 2024-25. In particular, the Trust must have an accurate picture of its current establishment and vacancy levels (high priority);</p> <p>Accepted.</p> <p>This is an essential element of work and having adequate resource to achieve this is critical. Work is underway at an all-Wales level to prepare organisations for the next generation ESR solution. This is a significant piece of work. Unfortunately, the revised solution does not include modules which improve WFP capability. Having access the right skills and technology to deliver this is essential. We will work with the Data Knowledge and Research Team to agree the scope and plan to deliver this aim. This will include investing in technology to facilitate workforce planning and service/workforce modelling, subject to costings and procurement process.</p>	30/06/2024	30/06/2024
560	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	R2 The Trust is developing a comprehensive picture of current workforce capacity via its workforce toolkit but must ensure its workforce information is correct. In particular, the Trust needs accurate figures on its current establishment and vacancies. It also needs to understand future service demand and model the	<p>Following Action 559</p> <p>2.2. In partnership with Data, Knowledge and Research and Finance Directorates, develop a consistent approach to model future service demand to understand the longer-term human and financial resource implications and potential risks to the organisation by the end of quarter 1 2024- 25 (medium priority).</p> <p>Accepted.</p> <p>This is an essential element of work and having adequate resource to achieve this is critical. Work is underway at an all-Wales level to prepare organisations for the next generation ESR solution. This is a significant piece of work. Unfortunately, the revised solution does not include modules which improve WFP capability. Having access the right skills and technology to deliver this is essential. We will work with the Data Knowledge and Research Team to agree the scope and plan to deliver this aim. This will include investing in technology to facilitate workforce planning and service/workforce modelling, subject to costings and procurement process.</p>	30/06/2024	30/06/2024
562	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	R3 There are opportunities for the Trust to improve its approach to staff engagement. By the end of 2023, the Trust should:  3.2. Develop an approach to increase participation rates in workforce surveys and engagement activities, specifically	<p>Following Action 561</p> <p>3.2. Develop an approach to increase participation rates in workforce surveys and engagement activities, specifically targeting underrepresented parts of the business including the Health Protection and Screening Directorate by the end of quarter 2 2024-25 (high priority).</p> <p>Accepted – This is work already underway</p>	30/09/2024	30/09/2024

564	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	R5 We found weaknesses in the Trust's approach to monitoring and overseeing delivery of its People Strategy. It does not understand the impact of its efforts to implement that strategy and the POD Committee does not have a clear picture of progress implementing the People Strategy. By the end of	Accepted We will look to do this in partnership with our Strategy and Planning Colleagues, to ensure efficiency and integration.	30/09/2024	30/09/2024
565	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	R5 We found weaknesses in the Trust's approach to monitoring and overseeing delivery of its People Strategy. It does not understand the impact of its efforts to implement that strategy and the POD Committee does not have a clear picture of progress implementing the People Strategy. By the end of	Following Action 564 Accepted We will look to do this in partnership with our Strategy and Planning Colleagues, to ensure efficiency and integration.	30/09/2024	30/09/2024
566	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	R5 We found weaknesses in the Trust's approach to monitoring and overseeing delivery of its People Strategy. It does not understand the impact of its efforts to implement that strategy and the POD Committee does not have a clear picture of progress implementing the People Strategy. By the end of	Following Action 565 Accepted We will look to do this in partnership with our Strategy and Planning Colleagues, to ensure efficiency and integration.  Our Dashboards will be the key mechanism for measuring impact of workforce initiatives. We will also seek to gather qualitative data to understand impact of initiatives from a user perspective. We will work in partnership with PODCOM and colleagues in our Board Governance Team to meet the requirements of actions 5.3 and 5.4.	30/09/2024	30/09/2024
569a	Internal Audit	Business Continuity and Technical Resilience	29/01/2024	QSIC	Reasonable assurance	1.1 The Trust needs a coordinated plan to bring all BIA, BCP, DR documentation up to date, though currently the IT BCP/DR should be prioritised. There should be a central location where copies of plans are kept and a process to periodically review and update them to	Review the IT BCP and ensure procedures for testing and exercising of DR/BCP plans are updated and communicated to relevant stakeholders (as defined in the cyber improvement plan).	31/03/2025	31/03/2025
570	Internal Audit	Business Continuity and Technical Resilience	29/01/2024	QSIC	Reasonable assurance	2.1 BCP training could be made mandatory, especially as its e-learning and easy access, complete, and for management to monitor.	Formally request that the NHS Wales E-Learning for Major Incidents (incorporating BC Awareness) is made mandatory for PHW employees. Add as an action to the 2024/25 workplan for the Public Health Wales Emergency Planning & Business Continuity Group.	31/03/2025	31/03/2025
571b	Internal Audit	Business Continuity and Technical Resilience	29/01/2024	QSIC	Reasonable assurance	3.1 There should appropriate fire suppression systems at all server sites. It can help prevent loss of equipment, and fire spreading unchecked, which can have catastrophic consequences. There are now a range of readily available fire suppression	Install Fire Suppression systems at all 7 server hosting sites.	30/09/2024	30/09/2024
572	Internal Audit	Business Continuity and Technical Resilience	29/01/2024	QSIC	Reasonable assurance	4.1 There should be a documented procedure for the management of monitoring system alerts. The document should be appropriate to the Trust and systems and consistent with best practice. It could include: • Single shared mailbox for all alerts.	Establish and develop a threat and risk assessment policy and procedure (as stated in the cyber improvement plan).	31/03/2025	31/03/2025
585	Internal Audit	Work Programmes	19/03/2024	ACGC	Reasonable assurance	The Health and Wellbeing directorate does not have a consistent and standardised approach in place for the management of work programmes that aligns with Public Health Wales programme management principles. Such information would set out expectations in relation to finance,	The Directorate accepts the recommendation. Work will be undertaken to review existing programme management approaches and make improvements to ensure a consistent approach to management and governance of programmes and projects aligned to Public Health Wales agreed methods and guidance. This will include development of highlight report that details financial information and performance against agreed budgets and targets and a consistent approach to risk management (see matter arising 4).	30/06/2024	30/06/2024
586	Internal Audit	Work Programmes	19/03/2024	ACGC	Reasonable assurance	The Executive leadership within the Health and Wellbeing Directorate has had a number of changes over the last 24 months. Frequent leadership changes can have an unfavourable impact on the strategic direction and smooth functioning of business	A review of our business management functions that support the Directorate will be undertaken to identify areas for improvement building on the existing arrangements within the Directorate. Following the review, the improvements will help to ensure we have the 'scaffolding' in place to deliver our plan, there is increased transparency across the Directorate and information is considered at the right level.	30/09/2024	30/09/2024
587	Internal Audit	Work Programmes	19/03/2024	ACGC	Reasonable assurance	Our findings indicate that the Trust has implemented an IMTP milestone reporting process which is administered by the Strategic, Planning and Performance (SPP) Team. Monthly, information is collated within the Performance and Insight report which is presented to the Business Executive Team and	A Health and Wellbeing Directorate Plan will be developed by March 2024. This will include a level of detail that underpins the IMTP and demonstrates the Health and Wellbeing contribution to delivery of the PHW Long Term Strategy. The plan will also allow for increased scrutiny of financial information with budgets assigned to work programmes and ensure all staff understand the role they are playing in delivering the public health outcomes for Wales.	30/04/2024	30/04/2024
588	Internal Audit	Work Programmes	19/03/2024	ACGC	Reasonable assurance	Our review of the risk registers for our sampled work programmes identified the following points: • The risk registers for the Welsh Network of Healthy Schools Scheme (WHNSS) and Parents Information work programmes did not include risk scoring information. However, we note that	This will be taken forward alongside the action to address recommendation 1. We will work with the organisations Risk Manager to ensure we comply with the organisations Risk Management Policy and risks are recorded appropriately make use of the Datix system where required. This will ensure risk can be escalated and deescalated as required.	30/04/2024	30/04/2024