

Cwm Taf Morgannwg University Health Board

Audit & Risk Committee
Internal Audit Progress Report

October 2021

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 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 audit 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 & Risk Committee.

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1 Introduction

- 1.1 This progress report provides the Audit & Risk Committee (the 'Committee') with the current position regarding the work undertaken by Internal Audit as at **27 September 2021**. 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 August meeting of the Committee four reports have been finalised, three others are in draft, and we have ongoing fieldwork in four areas. A summary of the reviews that have been reported is provided below in Table 1.

Table 1 – Summary of reports issued

Assignment	Assurance rating
Integrated locality group (ILG)	Reasonable
Welsh language act	Reasonable
Single cancer pathway: data quality and integrity	Limited
PCH – Validation of management actions	Substantial

3 Delivering the Plan

- 3.1 Our programme of work for 2021/22 is ongoing. The detail of the scheduling and progress of the audit work is outlined in the assignment status schedule, which is included at Appendix A.
- 3.2 Similar to last year, with the ongoing pandemic, a degree of uncertainty remains as to how this will affect the delivery of the plan. We continue to take both a pragmatic and agile approach, and will endeavour to support the Health Board while meeting our commit to provide assurance to the Chief Executive and Board.

Appendix A**Table 2: 2021/22 reviews – planned for Q1 – Q3**

Assignment	Status	Assurance	Notes
Welsh Language Act	Final	Reasonable	-
Single cancer pathway: data quality and integrity	Final	Limited	Draft report issued 24.06.21. Management responses received 24.09.21. Final report issued 27.09.21
Integrated locality group (ILG)	Final	Reasonable	Draft report issued 27.07.21. Management responses received 26.09.21. Final report issued 27.09.21
Fire safety management	Draft	Limited	Draft report issued 27.07.21 – Ongoing discussion – awaiting further evidence
CAMHS – follow up - Workforce	Draft	Limited	This is the follow up of a limited assurance report that was issued in 2020/21. Draft report issued 22.09.21
CAMHS – follow up – Governance and risk	Draft	Reasonable	This is the follow up of a limited assurance report that was issued in 2020/21. Draft report issued 22.09.21
Bridgend transfer of IT	Drafting	-	Fieldwork complete – report being drafted.
Concerns	WIP	-	-
Continuing healthcare	WIP	-	Additional review requested by management.
Recruitment and retention of staff	WIP	-	This is an advisory review to support management with the implementation of its updated process.

Assignment	Status	Assurance	Notes
Financial systems – budgetary control and requisitioning	WIP	-	Brief agreed. Work has started on the budgetary control element. Questioning fieldwork to start in late October.
Digital strategy	Planning	-	Brief has been agreed. Fieldwork to start in October.
Overtime and expenses	Planning	-	Brief has been issued 03.09.21 – awaiting response
Innovation and improvement	Planning	-	Brief has been agreed. Fieldwork to start in October.
Clinical service group review	Planning	-	CSG brief agreed. Had planned to look at medicine CSG in MC. Agreed change of focus to clinical support services in RTE.
Implementation of the operating model	Planning	-	Have held initial discussion with executive lead. Further discussion with management on 29.09.21
Financial savings	Planning	-	Planning meeting with management 23.09.21. Further discussion with management on 29.09.21
Quality and patient safety governance framework	-	-	Q3
Performance management	Planning	-	Held initial meeting with Director of Strategy and Transformation, review planned for Q3.
IT Service management – follow up	Planning	-	Follow up of prior year limited assurance report.
Network and Information Systems (NIS) directive	Planned	-	Planned for late Q3.

Assignment	Status	Assurance	Notes
Decarbonisation / Waste management	-	-	Updated WG guidance advising that health boards do not need to complete decarbonization strategies until March 2022. So, we will pick up in 2022/23 plan. Propose to replace with waste management review across all health board plans. Covid impact with disposal of PPE and other general waste.
Dewi Sant (Phase 2)	-	-	This was one of our planned capital reviews. However, propose to change of focus to fire suppression and decontamination.
Reasonable offer	-	-	Meeting with Director of Strategy and Transformation. WG guidance changed so timing not right. Propose to do next year.
Transformation fund	-	-	Meeting with Director of Strategy and transformation – Audit Wales are doing work in this area - propose not to do to avoid duplication.

Table 3: Status of PCH plan 2021/22

This table summarises the progress made against our Prince Charles Hospital development Internal Audit plan.

Assignment	Status	Assurance	Notes
PCH – Validation of management actions	Final	Substantial	-
PCH: Financial Management	Fieldwork	-	-
PCH: Governance	Fieldwork	-	-
PCH: Quality	Planning	-	-

Assignment	Status	Assurance	Notes
PCH: Technical Compliance	Planning	-	-

Table 4: Status of hosted bodies 2021/22 reviews

Assignment	Status	Assurance	Notes
WHSSC – Cancer & Blood services	Final	Substantial	
EASC – governance	WIP	-	Fieldwork commencing.

Table 5: 2021/22 reviews previously reported

Assignment	Status	Assurance	Notes
Annual Governance Statement	Complete	N/A	No formal report
Management of capital – Sunnyside Health& Wellbeing centre project	Final	Reasonable	-
Vaccinations	Final	Substantial	-
WHSSC – Cancer & Blood services	Final	Substantial	-