

Cwm Taf Morgannwg University Health Board

Audit & Risk Committee Internal Audit Progress Report

August 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 **9 August 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 June meeting of the Committee five reports have been finalised, three are in draft, and we have ongoing fieldwork in five areas.
- 2.2 Due to changes in executives, the pandemic, and the need for responses from a number of sources, we agreed with management that the single cancer pathway draft report that was issued in June should be taken to committee to provide members with sight of the matters identified. The finalised report with management responses will be brought to the next committee.
- 2.3 A summary of the reviews that have been reported is provided below in Table 1.

Table 1 – Summary of reports issued

Assignment	Assurance rating
Clinical audit 20/21	Reasonable
Facilities directorate (workforce arrangements) – follow up 20/21	Reasonable
Management of capital – Sunnyside Health& Wellbeing centre project	Reasonable
Single cancer pathway: data quality and integrity (Draft)	Limited
Mass vaccination programme	Substantial
WHSSC – Cancer and blood services	Substantial

3 Delivering the Plan

- 3.1 We have completed our programme of work for 2020/21 and have ongoing work for the 2021/22 plan. The detail of the scheduling and progress of the audit work is outlined in the assignment status schedule, which is included at Appendix A.

Table 2: Status of 2020/21 reviews

Assignment	Status	Assurance	Notes
Clinical audit	Final	Reasonable	-
Facilities directorate – workforce follow up	Final	Reasonable	-

Table 3: 2021/22 reviews – planned for Q1 and Q2

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	-
Single cancer pathway: data quality and integrity	Draft	Limited	Issued In draft 24.06.21. Due to change in executives and the number of people needing to give a response has taken longer than expected.
Fire safety management	Draft	Limited	Draft report issued 27.07.21
Integrated locality group (ILG)	Draft	Reasonable	Draft report issued 27.07.21
Welsh Language Act	WIP	-	-
Concerns	WIP	-	-

Assignment	Status	Assurance	Notes
CAMHS – follow up	WIP	-	This is the follow up of a limited assurance report that was issued in 2020/21. Focus is on the governance, risk and workforce recommendations made in our directorate review.
Bridgend transfer of IT	WIP	-	Fieldwork on going.
Continuing healthcare	WIP	-	Additional review requested by management.
Digital strategy	Planning	-	Brief has been agreed.
Recruitment and retention of staff	Planning	-	Held discussions with management. This will be an advisory review to support management with the implementation of its updated process.
Overtime and expenses	Planning	-	Had initial planning meeting 20.05.21.
Financial systems – budgetary control	Planning	-	Had planning meeting. Brief being drafted.
Innovation and improvement	Planning	-	Meeting with executive lead on 11.08.21
Implementation of the operating model	Planning	-	Have held initial discussion with executive lead.

Table 4: Status of hosted bodies 2021/22 reviews

Assignment	Status	Assurance	Planned Timing	Notes
WHSSC – Cancer & Blood services	Final	Substantial	-	-

Assignment	Status	Assurance	Planned Timing	Notes
EASC – governance	Planning	-	Q2	Brief agreed 09.08.21