

Cwm Taf Morgannwg University Health Board

Audit & Risk Committee Internal Audit Progress Report

June 2022

NWSSP Audit and Assurance Services

Contents

1	Introduction	3
2	Reports Issued	3
3	Delivering the Plans	3
4	Monitoring	3

Appendix A – Tables showing detailed progress against audit plans



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.

Audit reports are prepared by the staff of the NHS Wales Shared Services Partnership – Audit and Assurance Services, and addressed to Independent Members or officers including those designated as Accountable Officer. They are prepared for the sole use of Cwm Taf Morgannwg University Health Board 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.

1 Introduction

- 1.1 This progress report provides the Audit & Risk Committee (the 'Committee') with the current position of the work undertaken by Internal Audit as at **16 June 2022**. 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 May meeting of the Committee eight reports have been finalised and three are in draft. A summary of the position of the finalised reviews, including a summary of number of recommendations, is provided below in Table 1.

Table 1 – Summary of reports issued

Assignment 2021/22	High	Medium	Low	Total	Assurance rating
PCH: Quality	-	1	1	2	Substantial
Financial systems – budgetary control and requisitioning	1	5	3	9	Reasonable
PCH: Technical Compliance	-	2	1	3	Reasonable
Waste management	-	1	1	2	Reasonable
Welsh risk pool claims	1	1	-	2	Reasonable
Follow up - Medical and dental rostering	1	4	-	5	Reasonable
Follow up - Patient pathway appointment management process	2	1	-	3	Limited
Facilities governance	4	3	-	7	Limited

3 Delivering the Plans

- 3.1 The fieldwork for our 2021/22 reviews has been completed and the audit work is outlined in the assignment status schedule, which is included at Appendix A.
- 3.2 Our programme of work for 2022/23 has started. At the time of this paper we have ongoing fieldwork in relation to three reviews.

4 Monitoring

- 4.1 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. While we anticipate some responses, these have yet to come through.

Appendix A**Table 2: 2021/22 reviews**

Assignment	Status	Assurance	Notes
Financial systems – budgetary control and requisitioning	Final	Reasonable	-
Facilities governance	Final	Limited	Review added at request of management.
Waste management	Final	Reasonable	-
Welsh risk pool claims	Final	Reasonable	-
Follow up - Medical and dental rostering	Final	Reasonable	-
Follow up - Patient pathway appointment management process	Final	Limited	-
PoW theatres fire suppression and decontamination	Draft	Limited	Draft report issued 06.05.22.
Quality and patient safety governance framework	Draft	Reasonable	Draft report issued 26.05.22.
Risk management	Draft	Reasonable	Draft report issued 07.06.22.

Table 3: Status of PCH plan 2021/22

This table sets out the position of our work relating to the Prince Charles Hospital development that was outstanding at the time of the previous meeting of the committee.

Assignment	Status	Assurance	Notes
PCH: Technical Compliance	Final	Reasonable	-
PCH: Quality	Final	Substantial	-