

Audit Committee, 22 November 2016

Internal Audit Progress Report

Executive summary and recommendations

**Introduction**

Grant Thornton have prepared a report showing progress against their 2016-17 internal audit plan.

**Decision**

The Audit Committee is asked to discuss the report.

**Resource implications**

None

**Financial implications**

Grant Thornton's annual fees are approx. £47k including VAT.

**Appendices**

Internal Audit Progress Report

**Date of paper**

11 November 2016

## The Health and Care Professions Council (HCPC)

### Internal Audit Progress Report 2016-17

11 November 2016

<b>Distribution</b>	<b>Timetable</b>	
For information: Finance Director	Report issued:	11 November 2016
For information: Audit Committee	Presented:	22 November 2016

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# 1 Internal Audit progress to November 2016

## **1. Introduction**

The *purpose of this report is to inform the Audit Committee of the progress* in delivering the internal audit plan for the year to date.

## **2. Internal Audit 2016-17 and reports to this meeting**

Since the Audit Committee meeting in September 2016 at which we presented our report on Whistleblowing arrangements, we have finalised our audit reports in respect of Partner Recruitment, Registration Appeals and Non-Case Preparation and Presentation Legal Services Cost Management.

## **3. Internal Audit work in progress**

We are currently developing the Audit Planning Briefs for two reviews.

## **4. Internal Audit planned work before the next committee**

We set out below a list of the planned audits which we aim to complete and present to the next meeting in March 2017:

- Staff recruitment and retention
- Property management (Tribunal suite).

## **5. Potential change to internal audit plan**

We discussed the Registration Project audit with the Finance Director who agreed to review the timing of this audit with the Director of Operations and update the Audit Committee.

## **6. Conclusion**

The Committee is asked to note the progress in delivering the 2016-17 Internal Audit Plan and to approve any changes.

## A Progress against Internal Audit Plan 2016-17

	Planning yet to commence	Planning underway	Planning Brief agreed	Fieldwork started	Drafting/ QA	Draft report issued	Final report issued	Audit Committee reporting
Whistleblowing arrangements	•	•	•	•	•	•	•	September 2016
Non-Case Preparation and Presentation Legal Costs Management	•	•	•	•	•	•	•	November 2016
Registration Appeals	•	•	•	•	•	•	•	November 2016
Partner Recruitment	•	•	•	•	•	•	•	November 2016
Staff recruitment and retention	•	•						March 2017
Property management (Tribunal Suite)	•	•						March 2017
Core financial systems								June 2017
Registration Project (execution phase)								Possible deferral to 2017/18



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