

## The Health and Care Professions Council (HCPC)

### Internal Audit Progress Report 2016-17

15 March 2017

<b>Distribution</b>	<b>Timetable</b>	
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# 1 Internal Audit progress to March 2017

## **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 previous Audit Committee, we have finalised our audit report in respect of Recruitment and Retention, progressed planning on the other reviews and met with EMT to develop a list of options for the draft internal audit plans for 2017-18 and 2018-19 for the Committee to review and feedback.

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

We are progressing with the review of Property Management (tribunal suite), which will be completed and finalised in March, and circulated to Committee members that point and formally presented to the next Committee in June 2017.

We are also requesting a steer from the Committee in relation to the core financial controls review in the audit plan for 2016-17. The review typically is undertaken to cover aspects of financial control on a cyclical basis (such as payroll, procurement etc). There have been other reviews as part of the extended 2016-17 internal audit plan that have considered financial controls, such as non FTP legal costs, partner recruitment (and associated costs). Whilst this means there is a basis to be able to deliver an assurance statement relating to internal controls (based on the scope of work completed), we would welcome the Audit Committee's views whether there are any specific financial control areas they consider still merit attention coverage as part of a standalone review of financial controls.

## **4. Update on optional review of the internal audit plan**

We discussed the Registration Project and agreed with management that it would be more appropriate to undertake a review at the point phase 1 of the project has been completed.

## **5. Conclusion**

The Committee is asked to note the progress in delivering the 2016-17 Internal Audit Plan, the findings from the Recruitment and Retention report and provide feedback on the options set out in the 2017-18 and 2018-19 Internal Audit plans.

## 6. Overall Assurance position

At the time of writing this progress report we have not yet completed all the planned reviews, but at this stage we have found nothing significant that would prevent us from giving substantial assurance associated with the scope of our work and testing we have undertaken.

### Progress against Internal Audit Plan 2016-17

Audit	Status of the review	Audit Committee reporting
Whistleblowing arrangements	Completed	Reported in September 2016 Committee
Non-Case Preparation and Presentation Legal Costs Management	Completed	November 2016
Registration Appeals	Completed	November 2016
Partner Recruitment	Completed	November 2016
Staff recruitment and retention	Completed	March 2017
Property management (Tribunal Suite)	Field work in progress	June 2017
Core financial systems	See earlier note	
Registration Project (options review)	Discussed and agreed with management that more appropriate to undertake a review at the point phase 1 of the project has been completed.	



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