

The Health and Care Professions Council (HCPC)

Internal Audit Progress Report 2017-18

05 September 2017

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1 Internal Audit progress to August 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 2017-18 and reports to this meeting

Since the previous Audit Committee in June 2017, we have progressed on planning the Strategic and Operational Planning audit which is due to commence on the 11 September 2017. We were also asked by the Chair of the Audit Committee to produce a draft terms of reference for a cyber-security review. We have completed this and at the time of writing this progress report, we are awaiting for management comments on the draft terms of reference. We are currently liaising with the Executive Sponsors for the remaining reviews.

3. Other work in progress (outside the Internal Audit Plan)

We are currently finalising a review of the Registrations Project (separate to the review included in the IA plan for 2017-18) which will be completed and finalised in September, and circulated to the Council.

4. Conclusion

The Committee is asked to note the progress in delivering the 2017-18 Internal Audit Plan.

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 2017-18

Audit	Status of the review	Budgeted days	Start date of field work	End date of the field work	Executive Sponsor	Audit Committee reporting
Strategic and operational planning	Terms of reference has been finalised	12	11 September 2017	25 September 2017	Andy Gillies, Finance Director	21 November 2017
Continuing professional development	Terms of reference in progress	5	02 October 2017	09 October 2017	Greg Ross-Sampson, Director of Operations	21 November 2017
Registrations Project	Terms of reference in progress	6	20 November 2017	28 November 2017	Greg Ross-Sampson, Director of Operations	TBC (Date to be published)
Core financial controls	Terms of reference in progress	6	22 January 2018	30 January 2018	Andy Gillies, Finance Director	TBC (Date to be published)
Annual Follow up	Terms of reference in finalised	2	05 March 2017	07 March 2017	Louise Lake, Director of Council and Committee Services	TBC (Date to be published)
Cyber Security Review – New audit	Draft terms of reference completed	12	15 January 2018	31 January 2018	Guy Gaskins, Director of Information Technology	TBC (Date to be published)



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