

# **The Health and Care Professions Council (HCPC)**

Internal Audit Progress Report 2017-18 and 2018-19

June 2018

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# 1 Internal Audit progress to June 2018

## 1. Introduction

The purpose of this report is to inform the Audit Committee of the progress in delivering the remaining areas of the internal audit plan for the 2017-18 year, as well as an update on the internal audit plan for the 2018-19 financial year.

## 2. Progress against the 2017-18 Plan

Since the previous Audit Committee in February 2018, we have completed the remaining areas of review, namely; Continual Professional Development (CPD), Budgeting and Forecasting (and selected key financial controls) and the Annual Follow-up of recommendations.

## 3. Overall Assurance position for 2017-18

We have completed the 2017/18 Audit Plan, and have prepared our Annual Report which is being presented to this Audit Committee Meeting.

## 4. Progress against the 2018-19 Plan

- **Strategic and Operational Planning** - We have completed the field work for this review, and have prepared the draft report which is going through our quality control process. We had aimed to finalise

this report for this June Audit Committee meeting, however, whilst seeking best practice insight from other regulators to share with the HCPC, we were unable to finalise it in time. It is proposed that the final report is shared with Audit Committee once finalised.

- **Graduate fee increase and/or withdrawal of the graduate discount.** We have commenced our review of the financial model and approach to the graduate fee increase and/or withdrawal of the graduate discount, and have been informed by the Executive Audit Sponsor (Guy Gaskins, Executive Director of IT and Operations) that the advisory report will be appended to management's report and presented directly by management at the Council meeting on the 04 July 2018. The report is not expected to be presented at the Audit Committee.

We are in progress of setting up scoping meetings with the Executive Audit Sponsors and key individuals to scope and finalise the terms of reference for each of the remaining areas of the 2018-19 audit plan.

Section 3 contain further details as to the timings and reporting of each audit report to the Audit Committee, as requested at the last Audit Committee on the 06 March 2018.

#### Outside of the IA Plan

Grant Thornton have also been commissioned to carry out a review of the Registration Project – Phase 1 ahead of Phase 2. The work has been commissioned outside of the Audit Plan. We understand the report will be shared with the Chair of the Audit Committee and also with the Council

## 2 Progress against Internal Audit Plan 2017-18

Audit	Status of the review	Budgeted days	Actual days	Executive Sponsor	Audit Committee reporting
Continuing professional development	<b>Completed</b>	5	5	Greg Ross-Sampson, Director of Operations Richard Houghton, Head of Registration	12 June 2018
Cyber Security Review	<b>Completed</b>	12	12	Guy Gaskins, Director of Information Technology	06 March 2018
Budget Forecasting and key financial controls (replaces Strategic and operational planning)	<b>Completed</b>	12	13	Guy Gaskins, Director of IT and Operations and Andy Gillies, Finance Director	12 June 2018
Annual Follow up (High and Medium Actions only)	<b>Completed</b>	4	3	Guy Gaskins, Director of IT and Operations and Claire Amor	12 June 2018
<b>Total budgeted days</b>		<b>33 days</b>	<b>33 days</b>		
Strategic and operational planning	Deferred to the 2018-19 IA Plan.			Andy Gillies, Finance Director	21 November 2017
Registrations Project	Commissioned outside of the IA Plan			Guy Gaskins, Director of IT and Operations. (Previously Greg Ross-Sampson, Director of Operations)	12 June 2018

### 3 Progress against Internal Audit Plan 2018-19

Audit	Status of the review	Budgeted days	Actual days taken to date	Start date of the field work	Expected end date of the field work	Executive Sponsor	Audit Committee reporting
Strategic and operational planning	<b>Quality assurance stage for Draft report</b>	10	9	16 April 2018	30 April 2018	Jacqueline Ladds, Director of Policy and Communications	04 September 2018 <sup>1</sup>
Social Workers Transfer Project	<b>Planning underway</b>	12	0.5	02 July 2018	13 July 2018	Guy Gaskins, Director of Information Technology	04 September 2018
Fee increase and/or withdrawal of the graduate discount	<b>Fieldwork in Progress</b>	5	1	04 June 2018	11 June 2018	Guy Gaskins, Director of IT and Operations	04 September 2018
Key financial controls	<b>To be scoped in July 2018</b>	9	-	01 October 2018	10 October 2018	Guy Gaskins, Director of IT and Operations	20 November 2018
HCPC PSA Improvement Plan	<b>To be scoped in July 2018</b>	8	-	05 November 2018	16 November 2018	John Barwick, Head of Fitness to Practice and operations	20 November 2018
Annual Follow up (High and Medium Actions only)	<b>N/A</b>	4	-	11 February 2019	14 February 2019	Guy Gaskins, Director of IT and Operations	TBC - 2019
<b>Total budgeted days ( reviews)</b>		<b>48</b>	<b>10.5</b>				



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