

The Health and Care Professions Council (HCPC)

Internal Audit Progress Report 2018-19

August 2018

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1 Internal Audit progress to August 2018

1. Introduction

The purpose of this report is to inform the Audit Committee of the progress made in delivering the internal audit plan for the 2018-19 financial year.

2. Progress against the 2018-19 Plan

Since the last Audit Committee meeting in June 2018, the following reports have been finalised and issued:

- Strategic and Operational Planning
- Five Year Financial Modelling Review
- Phase 1 Registrations Review

Section 2 contain further details as to the timings and reporting of each audit report to the Audit Committee.

2 Progress against Internal Audit Plan 2018-19

Audit	Status of the review	Budg-	Actual	Start date of	Expected end	Audit Sponsor	Original Audit Com-	Revised Audit Com-
Strategic and operational planning	Completed and issued	10	10	16 April 2018	30 April 2018	Jacqueline Ladds, Director of Policy and Communications	12 June 2018	04 September 2018
Five Year – Financial Modelling Review	Completed and issued	5	7.5	04 June 2018	11 June 2018	Guy Gaskins, Director of IT and Operations	04 September 2018	N/A
Social Workers Transfer Project	Draft Terms of Reference issued to management	12	1.5	04 September 2018	19 September 2018	Guy Gaskins, Director of Information Technology	04 September 2018	20 November 2018
HCPC PSA Improvement Plan	Terms of Reference agreed with Management	8	1.5	29 August 2018	12 September 2018	John Barwick, Head of Fitness to Practice and operations	20 November 2018	N/A
Key financial controls	Scoping of the Audit to be performed in September 2018	9	-	01 October 2018	10 October 2018	Guy Gaskins, Director of IT and Operations	20 November 2018	N/A
Annual Follow up (High and Medium Actions only)	Not started	4	-	11 February 2019	14 February 2019	Guy Gaskins, Director of IT and Operations	05 March 2019	05 March 2019
Total budgeted days		48	20.5					

Note: Changes to Audit Committee Reporting dates.

- Strategic and Operational Planning – The final report was originally planned to be presented at the 12 June Committee meeting, however the report was presented to the 4 September 2018 meeting to allow Internal Audit to gain relevant insight from other regulatory clients, in order to provide this best practice insight to HCPC.
- The Social Workers Transfer Project Review was moved to September 2018 to accommodate for delays in the appointment process for Social Workers England (SWE) by the Department for Education. HCPC's management informed of us of the delays in July 2018 and therefore it was appropriate to slightly defer this audit.



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