
Internal Audit 2019-20 update

Executive Summary

This report provides the Committee with an update on progress to the 2019-20 Internal Audit Plan. Expected audit completion dates are included.

Previous consideration	None.
Decision	The Committee is asked to note the report.
Next steps	The Executive is liaising with BDO LLP to support the delivery of the plan in line with the timescales shown.
Strategic priority	All.
Risk	1 - Failure to deliver effective regulatory functions 3 - Failure to be a trusted regulator and meet stakeholder expectations 4 - Failure to be an efficient regulator
Financial and resource implications	The Internal Audit annual fee is £51,650
Author	BDO LLP



**INTERNAL AUDIT PROGRESS REPORT
FOR THE 2019/20 AUDIT PLAN
HEALTH AND CARE PROFESSIONS COUNCIL**

**CONFIDENTIAL
STATUS - FINAL
SEPTEMBER 2019**

1. Internal Audit Progress Report

Introduction

1.1 This report summarises the progress so far regarding the delivery of the internal audit plan for 2019/20.

Delivery of the plan

1.2 To date work has been completed on all three reviews within the Q1 plan. The reports for the assurance framework and mapping and the quality assurance reviews have been finalised and the draft management letter for the Procurement - Phase 1 advisory review has been issued for Management comments.

1.3 Scoping meetings for the Q2 and Q3 reviews have been arranged and confirmed.

1.4 The full strategy and plan has been reviewed by Management and approved by the Audit Committee.

Recommendation

1.5 The Audit Committee are requested to note this report.

Internal Audit Progress Report - for the 2019/20 audit plan

Audit Plan 2019/20 Progress Table - Health and Care Professions Council

Assignment title	Output type	Period	2018/19 Budget	AC Date	Actual to date	Status
Assurance Framework and Mapping	Advisory/Assurance	May 2019	5,600		5,600	Finalised
Quality Assurance	Assurance	June 2019	4,600		4,600	Finalised
Procurement - Phase 1	Advisory	June 2019	1,100		900	Draft Management Letter
Procurement - Phase 2	Advisory	December 2019	1,300		-	On Track
Transfer of Social Workers to New Body	Advisory	September 2019	4,800		-	On Track
FtP End to End Process	Assurance	October 2019	8,650		-	On Track
Business Continuity Planning	Assurance	October 2019	4,100		-	On Track
Fraud Risk Assessment	Advisory/Assurance	September 2019	6,500		-	On Track
Follow up	Assurance	February 2020	2,600		-	On Track
Induction	-	-	3,000		3,000	Completed
Audit Committee Attendance & Client Liaison	-	-	3,300		1,080	Ongoing
Internal Audit Strategy and Plan			4,300		2,300	Finalised
Audit Charter	-	-	600		300	Currently being reviewed
Annual Report	-	-	1,200		-	On Track
Total			51,650		17,780	

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Document history

FINAL 02/09/2019

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