

14 September 2022

Internal Audit Progress Report 2022-23

Executive Summary

This report summarises the progress and any changes regarding the delivery of the internal audit plan for 2022-23.

Previous consideration	The Committee reviews the Internal Audit Progress Report at each meeting
Decision	The Committee is requested to note the report and note that an additional piece of work, key financial controls – follow-up, has been commissioned to re-perform the tests undertaken as part of the 2021-22 key financial controls review. The Committee is also asked to approve any changes to the audit plan as highlighted by BDO.
Next steps	The Committee will receive update reports at each meeting on the progress of the Plan.
Strategic priority	All
Financial and resource implications	None as a result of this report
Author	BDO LLP



**INTERNAL AUDIT PROGRESS REPORT
FOR THE 2022/23 AUDIT PLAN
HEALTH AND CARE PROFESSIONS COUNCIL**

**CONFIDENTIAL
STATUS - FINAL
SEPTEMBER 2022**

1. Internal Audit Progress Report

Introduction

- 2.1 This report summarises the progress so far regarding the delivery of the internal audit plan for 2022/23.

Delivery of the plan

- 2.2 Audits have been scoped for the fitness to practise, business assurance framework, diversity and cyber security & IT business continuity planning reviews. The business change review will be conducted by means of a workshop with our transformation specialists, with a focus on developing the right approach and benefits realisation.

Changes to the plan

- 2.3 The Audit & Risk Assurance Committee is requested to note this report and note that an additional piece of work, key financial controls - follow-up, has been commissioned to re-perform the tests undertaken as part of our 2021/22 key financial controls review, originally rated as Red/Amber with seven Priority 1 findings and three Priority 2s.

Any other business

- 2.4 Since our last update to the Audit & Risk Assurance Committee in June 2022, Dan Bonner, Senior Manager supported by Heather Buckingham, Manager have now taken over the management of the internal audit contract between BDO and HCPC, with Bill Mitchell remaining as Head of Internal Audit.
- 2.5 Bill Mitchell will be running a face-to-face training session for the Quality team on auditing techniques and good practice. The training will be conducted late September 2022.

Assignment title	Output type	Period	Status	Proposed Audit Committee Date
Fitness to Practise	Audit	Q3	Scope agreed	November 2021
Business Assurance Framework	Audit	Q3	Scope issued	March 2023
Business Transformation	Assurance	Q3	Scope agreed	November 2022
Registrant Forecasting	Audit	Q3	Scoping meeting to be held	March 2023
Diversity	Assurance	Q3	Scope agreed	November 2022
Cyber Security and IT Business Continuity Planning	Audit	Q3	Scope issued	November 2022
Key Financial Controls - follow-up	Audit	Q3	Scope agreed	March 2023
Follow up	Assurance	Q4	Scheduled	Jan-March 20223

FOR MORE INFORMATION:

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Document history		Distribution
Final	05/09/2022	HEALTH AND CARE PROFESSIONS COUNCIL

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Review:

Bill Mitchell