



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

CONFIDENTIAL
STATUS - FINAL
OCTOBER 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 three reviews within Q1 and two reviews within Q2 of the internal audit plan.

1.3 The Q1 reports for the assurance framework and mapping and the quality assurance reviews have been finalised and the management letter for the Procurement - Phase 1 advisory review has been finalised.

1.4 The Q2 reports for the Transfer of Social Workers to Social Work England and Fraud Risk Assessment reviews have been finalised.

1.5 Scoping meetings for Q3 reviews have been arranged and confirmed.

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

Recommendation

1.7 The Audit Committee are requested to note this report.

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

Assignment title	Output type	Period	2018/19 Budget	Actual to date	Status	Proposed Audit Committee Date
Assurance Framework and Mapping	Advisory/Assurance	May 2019	5,600	5,600	Finalised	May 2019
Quality Assurance	Assurance	June 2019	4,600	4,600	Finalised	September 2019
Procurement - Phase 1	Advisory	June 2019	1,100	900	Finalised	September 2019
Procurement - Phase 2	Advisory	December 2019	1,300	-	On Track	March 2020
Transfer of Social Workers to New Body	Advisory	September 2019	4,800	4,800	Finalised	November 2019
FtP End to End Process	Assurance	October 2019	8,650	7,650	On Track	March 2020
Business Continuity Planning	Assurance	October 2019	4,100	2,600	On Track	March 2020
Fraud Risk Assessment	Advisory/Assurance	September 2019	6,500	6,500	Finalised	November 2019
Follow up	Assurance	February 2020	2,600	-	On Track	March 2020
Induction	-	-	3,000	3,000	Completed	-
Audit Committee Attendance & Client Liaison	-	-	3,300	2,160	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	40,410		

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