

# Internal Audit Report

## 1. Audit overview

1.1	Date	Wednesday 22 November 2006
1.2	Department	Aspirant groups and CPD
1.3	Auditor	Ruth Bacon
1.4	Person being audited	Cathy Savage
1.5	Date report was issued	Tuesday 28 November 2006
1.6	Observations Made	x
1.7	Non conformities Issued	x

## 2. Audit information

The audit was conducted with Cathy Savage Aspirant Groups and CPD Manager.

Cathy reports to the Director of Operations Greg Ross-Sampson.

### What are the responsibilities of the role?

- Project manage CPD
- Deliver CPD by July 2008
- Deliver new parts of the register for aspirant groups

### Is the work involved in the job divided 50/50 between CPD and Aspirant Groups?

At present the ratio is:

- 60% CPD
- 40% Aspirant groups

This percentage varies depending on what is happening on each task at the time.

### Do you have a job description?

There is an electronic JD for the role.

## **Continuing professional development**

### **What is your role in terms of CPD work at present?**

Cathy is the project manager for this project.

I was shown a paper for the next Education and training Committee meeting.

### **What are the lines of communication on the project?**

- Reports are given to EMT every 2 weeks
- Reports are given at every Finance and Resources meeting
- ETC reports are given when requested. They recently asked for an update so Cathy is preparing a paper for the next meeting.
- Claire Phillips (Project Manager) put a proposal to Finance and Resources Committee. She presents a report of all projects on a monthly basis.

After this the EMT reports will move to being monthly. Cathy will be using the score card system that Claire uses for reporting on her projects. Claire has shown Cathy how to use this. The scorecard will be the standard reporting system for all projects at HPC. Since the Project Manager role was created the method has been standardised.

CPD project meetings are held every 2 weeks, though some have been cancelled. There are additional meetings with individual managers. The CPD Project Manager will review the process after Christmas.

### **How are the project meetings recorded and tracked?**

Records of project meetings are publicly available on Springfeild.

The last meeting was 11 October 2006 and the next will be 4 December 2006.

### **What are the agendas for the meetings?**

There is a communications strategy for CPD.

The concept went to Finance and Resources Committee that HPC will hold a series of road-shows to members of the public. Take questions/comments on the subject.

Inputs from these meetings will be used to drive the content of the website.

Cathy is working with Phillipa on determining venues, panel members etc.

### **How is the CPD project budget worked out?**

Cathy has a budget for 2007-2008 of 150K for 10 road-shows. There is a detailed breakdown of cost and a contingency budget.

Locations have been selected. Venues have to be able to accommodate 300 people.

Invites will go out to registrants and stakeholders (employers, NHS, professional bodies etc).

Information on the road-shows will go on the website so that any registrant can attend if they wish.

### What will the format of the road-shows be?

There will be a presentation on CPD and a panel who answers Q & A session.

Ideally for the panel we would like to have members of the CPD PLG attending as panel members.

Cathy is meeting Victoria Nash on 7 February 2007 to go over the presentation and make any updates as necessary (April 2007).

### How was planning the CPD project conducted?

A project plan has been created with all the main tasks.

### Observation 1: Old versions of the project plan have been overwritten. All copies should be kept and document control should be used to track versions.

There is a risk overview that has been developed. The overview has high level information on risks. The risk register has the detail of what each risk is, along with owners for each risk.

One of the risks logged is 'insufficient testing time for LISA'. IT own this risk so we need to ensure that IT attend the project meetings regarding LISA and ensure that the project manager is kept aware of any changes to risks.

### How is the project plan used at project meetings?

During the project meetings Cathy refers to the project plan and takes notes. Cathy tries to publish these notes within a week of the meeting.

We looked at the notes from the last meeting:

Action 121 Does the profile require a signature?

Johnathan Bracken advise was no, Cathy is awaiting written confirmation of this decision.

Action 151 Profile request letter

John Archibald has drafted some CPD standard letters. Cathy is waiting to find out if letters can be grouped on LISA to make them easier to use. At the moment there is no sufficient resource to fund this.

### Aspirant Groups

Because of the Foster review there is not a lot happening with this at the moment. There was a paper to Council on 12 September 2006, at this time the Council received information on:

- Groups who have contacted HPC
- Groups who have gone through the application process
- Proposed regulation timetable

Cathy has a list of these bodies who have approached HPC.

The document 'Review of aspirant groups applied to Council' has information on everyone who has applied.

1/9 applications has been successful so far (ODPs).

### What is the process for aspirant groups coming onto the register?

- ▶ The body applies
- ▶ The application goes to the next appropriate Council meeting
- ▶ The application is reviewed
- ▶ Confirmation of receipt letter is sent to the body applying (I was shown the letter for the Sports Therapists)
- ▶ A copy of the application is sent to Ros Mead
- ▶ CPD and aspirant groups Manager makes an assessment of the application against the set criteria

### Who set the criteria for assessment?

These criteria were sent by the Council in 2003.

They were written as a result of a consultation with stakeholders on criteria and guidance.

The system was reviewed in 2005 and a further consultation is proposed for December 2006.

We want to add a clause about new professions drafting their standards of proficiency before they apply.

This issue arose due to confusion within the Council with the Sports Therapists application, are they actually a separate profession to physiotherapists.

How was Cathy trained to make decisions on applications from aspirant groups?

Cathy was originally trained by Newchurch on how to make assessments. At the moment there is no one else trained to make these decisions. HPC need to make sure that a second person can make the decisions.

### Observation 2: We should have a second person trained to make assessment decisions on the applications of aspirant groups to HPC.

## 3. Resources

People, Environment, Equipment, Tools, Communications and Services

- 1x Aspirant groups and CPD Manager
- CPD project team members
- Council and Committee

## 4. Criteria

Criteria (Legislation and Regulation, Corporate Policy, Local Policy, Customer requirements and Procedural Requirements)

- HPC Order 2001

Date  
2006-11-28

Ver.  
a

Dept/Cmte  
QUA

Doc Type  
DCB

Title  
Aspirant groups and CPD Audit

Status  
Final  
DD: None

Int. Aud.  
Internal  
RD: None

- Advise from HPC lawyers on issues to do with CPD.

## 5. Records

- Job description
- Education and Training Committee paper
- Reports to EMT
- Reports to Finance and Resources Committee.
- Scorecards
- Project team agends/minutes
- Communications strategy for CPD
- Springfield
- Project plan
- CPD budget
- Risk overview
- Risk register

## 6. Measures

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## 7. OBSERVATIONS AND NON CONFORMITIES

This is information regarding any observations and non conformities recognised during the audit.

As a result of this audit there were 2 observations (see below) and 0 non conformities.

### Observations

Reference	Observation	Proposed action	Responsibility of
Observation 1	Old versions of the project plan have been overwritten. All copies should be kept and document control should be used to track versions.		CPD and Aspirant Groups Manager
Observation 2	We should have a second person trained to make assessment decisions on the applications of aspirant groups to HPC.		Director of Operations

Date	Ver.	Dept/Cmte	Doc Type	Title	Status	Int. Aud.
2006-11-28	a	QUA	DCB	Aspirant groups and CPD Audit	Final DD: None	Internal RD: None

# Internal Audit Report

## 1. Audit overview

1.1	Date	Wednesday 20 December 2006
1.2	Department	Office Services
1.3	Auditor	Ruth Bacon
1.4	Person being audited	Steve Hall
1.5	Date report was issued	Monday 8 January 2007
1.6	Observations Made	√
1.7	Non conformities Issued	x

## 2. Audit information

The audit was conducted with Steve Hall – Facilities Manager

Steve reports to Simon Leicester the Finance Director.

There is an internal audit being done on the team by PKF in January 2007.

**Who are the members of the Facilities team?**

- Olivia Plumber - Receptionist
- Sylvia Armstrong - Receptionist
- Chris White – Facilities Officer
- Michael Burke - Caretaker
- Janet Davis – Catering Officer

Steve delegates the day to day running of their teams.

**How do they know what their responsibilities are?**

Each member has a job description for their roles. These were updated earlier this year and each person has a copy of theirs. I asked to see Steve’s job description but he couldn’t find it

**Observation 1: Job descriptions need to be accessible for all members of the facilities team.**

**What are the responsibilities of the Facilities Manager?**

The role of the facilities manager is to provide a safe and healthy environment to allow employees, partners and members of the public visiting HPC to carry out the business. Some of the main areas are:

- Cleaning
- Contractors aware of any conditions
- Staffing levels for the facilities team
- Performance reviews for staff
- Projects
- Health and safety
- Waste and recycling
- Photocopiers
- Heating and ventilation
- Security

### **How is work for the facilities team planned?**

Some projects are planned but a lot of the work is reactive depending on what is happening at any one time in the office.

### **Financial planning**

Some projects cover the whole business- for example the office move.

Others are departmental specific – for example the refurbishment of the garden.

I was shown a copy of the facilities budget

### **Observation 2: No document control was used on the facilities budget. Steve needs some training on how to use this.**

Some of the main items on the budget:

- ▶ Projects - work out what projects are needed and what they will cost
- ▶ Repairs and maintenance fund
- ▶ Basic stationary (basic spend is £250 per head so this is used as the basis for working out how much cash is needed. Managers now pay for their own stationary as part of their budgets)
- ▶ Post (postal budget is worked out from what goes out of the franking machine)
- ▶ Maintenance contracts
- ▶ Recycled paper
- ▶ Rates and utilities
- ▶ Salaries for staff
- ▶ Cleaning

### **Departmental budgets**

Steve has 3 budgets:

- Park House
- Running Stannary street
- Refurbishment of Stannary street

Agreed with finance there would be 3 to help track where the money was going.



- ▶ Steve writes the draft budgets
- ▶ A meeting is held with CEO and Finance to discuss the draft budgets
- ▶ This meeting might highlight some changes and these will be made by Steve
- ▶ Steve resubmits the budgets
- ▶ Once they are happy with the budgets. Budgets go to Finance and resources for approval (21<sup>st</sup> March)

Charlotte has done a budget timetable document and sent it to all budget holders (there was no document control on this document).

- ▶ Simon would tell Steve whether it had been approved.

If the whole budget is cut, have to look for savings within the budget. If the refurbishment budget was cut the project would cease.

### **Health and safety**

Some money is essential for health and safety. A new health and safety policy is being drafted. A gap analysis has been done to look for shortfalls. There is lots of work to be done to address the shortfalls. This year budget has cash allocated to this work and 16.5K has been set aside.

- ▶ Laurence Webster Forrest are the consultants – they are checked and on the approved suppliers database.
- ▶ Laurence Webster Forrest gave us a quote for the work planned for next year. They will do annual audit to check health and safety procedures.
- ▶ Health and safety policy is then approved by Steve Hall and will then go to Marc Seale for approval/signature.
- ▶ Engage communications in Education process with employees and inform staff.
- ▶ Go live date arrives
- ▶ Steve will get trained in health and safety (IOSH qualification).
- ▶ There will then be some training for employees on health and safety.

### 3. Resources

People, Environment, Equipment, Tools, Communications and Services

- 1x Office Manager
- 2 x Receptionist
- 1x Facilities Officer
- 1x Caretaker
- 1x Catering Officer

### 4. Criteria

Criteria (Legislation and Regulation, Corporate Policy, Local Policy, Customer requirements and Procedural Requirements)

- HPC Order 2001
- Health and safety policy/requirements
- PKF audit

### 5. Records

- Job descriptions
- Budgets
- Contracts
- Paper to Finance and Resources (re:budget)
- Laurence Webster Forrest gap analysis/annual audit

### 6. Measures

- Project success
- Budget approval

## 7. OBSERVATIONS AND NON CONFORMITIES

This is information regarding any observations and non conformities recognised during the audit.

As a result of this audit there were 2 observations (see below) and 0 non conformities.

### Observations

Reference	Observation	Proposed action	Responsibility of
Observation 1	Job descriptions need to be accessible for all members of the facilities team.		Facilities Manager
Observation 2	No document control was used on the facilities budget. Steve needs some training on how to use this.		Facilities Manager and IT

# Internal Audit Report

## 1. Audit overview

1.1	Date	Tuesday 2 January 2007
1.2	Department	Policy
1.3	Auditor	Ruth Bacon
1.4	Person being audited	Michael Guthrie
1.5	Date report was issued	Wednesday 10 January 2007
1.6	Observations Made	x
1.7	Non conformities Issued	x

## 2. Audit information

The audit was conducted with Michael Guthrie – Policy Officer

### What is the structure of the Policy team?

Rachel Tripp – Policy Director  
 Michael Guthrie – Policy Officer  
 Sam Mars – Policy Officer

The team have moved to a temporary office next door to HPC.

Who organised the move?

Steve Hall and Sam Mars organised the move. It will probably be a year until the team move next door when it is done up. The plan is to move to the second floor with communications.

### What are the responsibilities of the team?

#### 1. Europe and temporary registration

Legislation on freedom of movement recognises the right to work temporarily without a fee (EU). This will be a new part of the register information will go on the website and to employers. This is on the project list for the coming year, needs to go live 2008. HPC are working with other regulators to work out the details and develop a common approach. Sam has written a paper for information that went to Decembers ETC.

#### 2. SETs and guidance

#### 3. Planning review of SETs

Issues with LA and POM possibly need new guidance. I was shown the work-plan and standards are reviewed on a 5 yearly basis wherever possible. They do one set of standards annually to try and spread the workload. Sometimes reviews are done by Committee and sometimes by PLGs.

### How do you decide how to review standards?

Tend to use PLG, professionally lead expertise doesn't exist on any particular committee. Allows us to use professional bodies and get early engagement.

Review of the SCPE

Used Committees (FTP only). Nothing in the HPC Order states how we do it but does dictate which committees will be involved. Michael created the work-plan for Council and committee – council approve it.

If PLGs are set up, Secretariat budget for rooms/attendees.

## 3. Resources

People, Environment, Equipment, Tools, Communications and Services

- 1x Policy Director
- 1x Policy Officer
- 1x Policy Officer

## 4. Criteria

Criteria (Legislation and Regulation, Corporate Policy, Local Policy, Customer requirements and Procedural Requirements)

- HPC Order 2001
- Council/Committee approval

## 5. Records

- Standards of Proficiency.
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## 6. Measures

## 7. OBSERVATIONS AND NON CONFORMITIES

This is information regarding any observations and non conformities recognised during the audit.

As a result of this audit there were 0 observations (see below) and 0 non conformities.

Date	Ver.	Dept/Cmte	Doc Type	Title	Status	Int. Aud.
2007-01-08	a	QUA	DCB	Policy Audit	Final DD: None	Internal RD: None

**Observations**

Reference	Observation	Proposed action	Responsibility of
Observation 1			

# Internal Audit Report

## 1. Audit overview

1.1	Date	Friday 5 January 2007
1.2	Department	Approvals and Monitoring
1.3	Auditor	Ruth Bacon
1.4	Person being audited	Abigail Creighton
1.5	Date report was issued	Friday 5 January 2007
1.6	Observations Made	x
1.7	Non conformities Issued	x

## 2. Audit information

The audit was conducted with Abigail Creighton - Approvals and Monitoring

## 3. Resources

People, Environment, Equipment, Tools, Communications and Services

➤ 1x

## 4. Criteria

Criteria (Legislation and Regulation, Corporate Policy, Local Policy, Customer requirements and Procedural Requirements)

- HPC Order 2001
- Council/Committee approval

## 5. Records

- Standards of Proficiency.
- .

## 6. Measures

## 7. OBSERVATIONS AND NON CONFORMITIES

This is information regarding any observations and non conformities recognised during the audit.

As a result of this audit there were 0 observations (see below) and 0 non conformities.

### Observations

Reference	Observation	Proposed action	Responsibility of
Observation 1			



# Internal Audit Report

## 1. Audit overview

1.1	Date	Wednesday 3 January 2007
1.2	Department	Human Resources
1.3	Auditor	Ruth Bacon
1.4	Person being audited	Kelly Webster
1.5	Date report was issued	Wednesday 10 January 2007
1.6	Observations Made	x
1.7	Non conformities Issued	x

## 2. Audit information

The audit was conducted with Kelly Webster – Human Resources Officer

## 3. Resources

People, Environment, Equipment, Tools, Communications and Services

➤ 1x

## 4. Criteria

Criteria (Legislation and Regulation, Corporate Policy, Local Policy, Customer requirements and Procedural Requirements)

- HPC Order 2001
- Council/Committee approval

## 5. Records

- Standards of Proficiency.

## 6. Measures

## 7. OBSERVATIONS AND NON CONFORMITIES

This is information regarding any observations and non conformities recognised during the audit.

As a result of this audit there were 0 observations (see below) and 0 non conformities.

### Observations

Reference	Observation	Proposed action	Responsibility of
Observation 1			