Audit Committee
5 November 2019

Internal assurance report

Executive Summary

This paper provides information on internal assurance activities that have taken place since September 2019 and activities that are ongoing in this period. This report includes the following areas;

- Quality Assurance
- Complaints and Feedback
- Chief Information Security and Risk Officer report

Previous consideration	None.
Decision	The Committee is invited to discuss the report.
Next steps	The report is a standing item on the Committee's agenda.
Strategic priority	Strategic priority 1: Continuously improve our performance across all our regulatory functions
Risk	1 - Failure to deliver effective regulatory functions 3 - Failure to be a trusted regulator and meet stakeholder expectations
Financial and resource implications	None
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Quality Assurance departmental activities report

1   Executive Summary

The report covers the departmental activities since August 2019. Feedback from the Audit Committee on the information presented in the report will continue to be collected and the report developed over this financial year.

Workplan progress

1.1   Progress against activities in the departmental workplan is broadly on schedule. In this period the focus has been on the following areas.
- Contribute to initial PSA evidence submission in relation to quality assurance activities.
- Progressing recommendations from the internal audit on the Quality Assurance function. The priorities related to the recommendations for this period focus on:
  - updating the Audit Committee report,
  - establishing a Quality Assurance Framework with the Governance Department,
  - producing an overall recommendations tracker for the Department,
  - introducing audit exit meetings, and
  - updating audit scoping documentation to record escalation contacts.
- Continued review and development of organisation-wide auditing.
- Production of a project submission for a new feedback and complaints system.

Audit schedules

1.2   The regulatory department audits are progressing according to the 2019-20 audit schedules - see appendix 1. All quarter two audits have been completed or commenced as per the schedule. Quarterly meetings continue to be held with the regulatory heads of department, the latest were held in September / October and it was determined that adjustments to the FTP audit schedule would take place in quarters three and four. An additional Education audit was completed in quarter two to provide further evidence in relation to previous audit findings.

Organisation-wide auditing

1.3   Development of a revised approach to organisation wide auditing by the Department has continued. A Quality Assurance Framework, audit schedule and auditing framework have been developed and are being finalised with the Governance Department. Two audits using this new framework (Communications and HR Partners) took place in September.

Appendix 1 - Regulatory department audit schedules 2019-20 progress

Audit	Period	Status
Registration Appeals To determine whether the process is being followed to the required standard, and in line with published guidance. Relates to PSA Standards of Good Regulation Registration Standard 2.	Quarter 1	Completed 2 recommendations
Education Major Change Process and Decisions To determine whether the process is being followed to the required standard, in line with published guidance and decisions are clearly recorded and communicated. Relates to PSA Standards of Good Regulation Education Standards 2 & 4.	Quarter 1 - 2	Finalised (SMT stage) 4 recommendations
FTP Investigation Committee Panel (ICP) Decisions To assess the quality of written decisions, and to assess the potential impact of changes to the process in the introduction of ICP-specific Chairs and the introduction of a Fast Track process. Relates to PSA Standards of Good Regulation FTP Standards 3, 5, 7 & 8.	Quarter 1	Ongoing (report stage)
Registration CPD Assessment Decisions To focus on the quality of written decisions by CPD assessors, that decisions are processed in line with published guidance and communicated to registrants. Relates to PSA Standards of Good Regulation Registration Standards 6.	Quarter 2	Ongoing (report stage)
Education Programme Records (February – July 2019) Biannual audit to check that information on education programme records is correct and programmes have been created, updated or closed based on information submitted by education providers. Relates to PSA Standards of Good Regulation Education Standard 4.	Quarter 2	Finalised (SMT stage) No recommendations
Education Creation of New Programme Records To determine whether the process is being followed around changes to education programme records, is in line with published guidance and relevant programme records are accurate and complete. Relates to PSA Standards of Good Regulation Education Standard 4.	Quarter 2	Ongoing (report stage)
FTP Threshold (2019 - 20) To assess the quality of decisions made under the Threshold policy, whether decisions are being made in line with the policy, are clearly communicated to relevant parties and if the process is being followed. Relates to PSA Standards of Good Regulation FTP Standards 1, 3, 4, 5, 6 & 8.	Quarter 2	Ongoing (report stage)
FTP Risk Assessments To assess the quality, whether guidance is being followed, and whether the assessments are completed within the required timescales. Relates to PSA Standards of Good Regulation FTP Standards 4 & 6.	Quarter 2 - 3	Ongoing (audit stage)
Education Annual Monitoring Planning To determine whether the process is being followed to the required standard, in line with published guidance and decisions are clear. Relates to PSA Standards of Good Regulation Education Standard 2 & 4.	Quarter 3	Ongoing (audit stage)
Registration Pass Lists / FTP Referrals To determine whether the process is being followed to the required standard, and in line with published guidance. Relates to PSA Standards of Good Regulation Registration Standard 1 & 2.	Quarter 3	Ongoing (audit stage)

Chief Information Security and Risk Officer report

1. ISO certification and audits

The ISO9001:2015 BSI audit has been postponed whilst the organisation goes through a period of considerable change. The Quality Assurance Department will be continue with internal process audits based on the ISO QA Audit framework. HCPC will adhere to the ISO9001 Quality Assurance and ISO10002 Complaints Management standards in the meantime. (This is the approach taken by Government).

A paper went to SMT at the end of October to review which standards are most important to maintain at the present time.

2. Information Security

This year's information security training was rolled out to all Partners in October with the assistance of the Learning & Development and Partner teams. The training was announced to Partners via the Partner Newsletter in September. To date 74% of Partners have completed the training on line. Social Work partners are being removed from the reminders to complete the training.

To date there have been 64 incidents of minor information loss reported to the Governance team this calendar year. All incidents are risk assessed based on the risk of harm to the data subject.

3. Data reporting

The five year registrant forecast has been updated with end of September 2019 data. The forecast accommodates the removal of the Social Work profession at the end of November 2019.

A developer has updated some of the reporting package processes to improve reliability and provide additional information.

4. Risk Management

The Strategic Risk Register has been updated. Fraud has been added to Strategic Risk 5.

The Enterprise Risk Register has been updated. The next iteration will follow a review of potential fraud and bribery areas around each area of the organisation.

A Fraud & Anti-Bribery audit has taken place. A report is provided from BDO.
A Business Continuity / Disaster Recovery audit has taken place, report is in preparation for the Audit Committee meeting next year.

5. Near Miss Reports (NMR) summary.

Two NMR's awaiting submission to sponsors.

6. Other items.

Proposed projects for the coming financial year; Archive Rationalisation, EDI CRM, Risk Management review. 'Proposals on a page' have been drafted for SMT prioritisation due to take place in late November.