

Annex B: 2010 Internal Audit Plan

Ref	4 Yr. Plan Ref.	Audit Topic	Source	Objective per Risk Register	Risk per Register	Directorate/ Department	Planned Days	Scope	Sponsor	Lead Manager	Timetable
Protecting the public											
1	1	Governance	Major Risk Register	Ensure continuity and effective transition planning for the executive and non-executive leadership teams.	Changing the Chief Executive (and Chair recently) following a lengthy period of stability, increased possibility of losses within cohort of key staff given length of service and potential uncertainty, loss of corporate memory in key risk areas, most significant projects and services.	Corporate - Strategy and Planning	8	An annual review of governance arrangements contributing towards internal audit's annual opinion on the adequacy and effectiveness of governance arrangements, a requirement of GIAS and IIA standards. Our reviews will consider different aspects of the GMC's governance arrangements each year and focus upon areas of significant change and/or high risk. Key personnel management and corporate memory will be prioritised to reflect the current major risk.	Paul Philip	Ben Jones and Christine Payne	Q3
2	2	Risk Management	Major Risk Register	To support and lead the GMC's corporate strategy and planning processes.	Failure to get buy in to risk management process. Failure to identify risks and put appropriate mitigating action in place.	Corporate - Strategy and Planning	6	An annual review of risk management arrangements contributing towards internal audit's annual opinion on the adequacy and effectiveness of risk management arrangements, a requirement of GIAS and IIA standards. Following our review of the overall framework in 2009, these reviews will vary in focus from year to year, with emphasis on any changes to the risk management framework, the effectiveness and embedding of that framework and its application in specific risk areas.	Paul Philip	Ben Jones and Helen Blythe	Q4

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3	3	Performance Monitoring and Reporting Structure	Operational Plan	Successful management and support of Council and Committees.	Inadequate arrangements in place.	Corporate - Strategy and Planning	8	This review will consider the structure, level and nature of performance monitoring and reporting information received by management and the Council and consider whether that information is sufficient to support effective decision making and the achievement of the GMC's objectives. We will also consider the arrangements for setting performance targets across the business. However this review will not consider the underlying integrity of the performance data (covered elsewhere within our audit strategy).	Paul Philip	Ben Jones and Helen Blythe	Q2
4	12	Business Continuity Planning	Major Risk Register / Operational Plan	Maintain physical infrastructure/ security.	Business continuity incident, major systems incident, information security incident.	Resources	8	To consider whether the GMC have appropriate business continuity plans in place to sufficiently mitigate for a major incident (systems failure, information security breach, facilities damage etc).	Neil Roberts	Steve Jones	Q1 (March)
5	15	Compliance with ISO 27001 and BS 10008:2008	Operational Plan	Maintain compliance with information security standards.	Serious security incident.	Resources	12	Continuing assurance that requirements of the ISO27001 and BS 10008:2008 standards will be met in areas where the GMC holds or is seeking certification.	Neil Roberts	David Anson	Q2

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6	16	Core Financial Systems	Operational Plan	Ensure that the GMC's decision making is underpinned by sound financial management.	Insufficient funds to continue business, resource implications of business decisions not accurately identified, failure to satisfy Charity Commission requirements, poor information leading to errors and poor decision making, potential tax liability £2.4m, plus ongoing liability, impact on investment income and business continuity.	Resources	10	We will review the GMC's core financial systems on a cyclical basis. Reviews will include income & debtors, creditors & payments, general ledger, budgetary control, management accounts and provision of financial information, cashflow, treasury policy and payroll. Payroll and general ledger reviews will be prioritised to reflect recent system changes.	Neil Roberts	Steve Downs	Q3
7	39	Financial Regulations	Schedule of Documents for ARC Review		-	Resources	3	Review of the GMC's financial regulations to ensure that they provide adequate coverage of key financial areas and support a robust internal control environment. This work is intended to support the Audit and Risk Committee in its periodic review of documents included in the Schedule of Documents for its review.	Neil Roberts	Steve Downs	Q2
8	19	Licensing Operational Arrangements	Major Risk Register	Introduce the licence to practise	Failure to introduce updated operational procedures within Registrations and Fitness to Practice.	Registration	8	Following the implementation of licence to practise and our readiness review in 2009, our work in this area in 2010 will focus upon providing assurance that arrangements for the licensing of doctors will operate effectively on an ongoing basis. .	Neil Roberts	Anthony Egerton	Q3

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9	21	Application Routes for UK Provisional and Full Registration	Identified through consultation	-	-	Registration	10	A review of the UK applications registration process to provide assurance that the GMC's systems for the management of application processing, application related decision making and review are effective.	Neil Roberts	Anthony Egerton and Philip Roberts	Q1
10	28	Readiness for Establishment of the independent Office of the Health Professions Adjudicator (OHPA)	Major Risk Register	Make all necessary arrangements for the establishment of the independent Office of the Health Professions Adjudicator.	Inability to service adjudication function in advance of transfer, failure to retain and motivate key staff in the interim period and failure to secure appropriate funding arrangements.	Fitness to Practise	12	We will perform a detailed review of the transitional arrangements that are in place to ensure a smooth transfer of responsibilities to the new body in readiness for the transition of powers in April 2011.	Paul Philip	Robert Loughlin	Q2
11	32	Revalidation Programme Pilots	Major Risk Register	Deliver changes needed to prepare for revalidation, working in conjunction with the Department of Health (England) and the devolved administrations.	UK Revalidation Programme Board does not establish its credibility, governance machinery (including Continued Practice Board) seen as incoherent, Delivery Board fail to develop firm plans, further delay and drift.	Education and Revalidation	8	We will review the GMC's approach to incorporating lessons learnt from the revalidation pilots conducted across the four countries of the UK into its plans and preparations for introducing revalidation.	Una Lane	TBD	Q3

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Helping doctors											
12	31	PMETB Merger Activity	Major Risk Register	Put in place all necessary preparatory work to establish a single continuum for all stages of medical education and training, in order to realise and optimise the benefits envisaged by the merger of PMETB with GMC.	Failure to deliver the physical and administrative merger on time due to wide ranging interdependencies across work streams and failure to secure buy-in of key interests to 2-stage legislative strategy.	Education and Revalidation	10	In 2009 we reviewed the governance and planning arrangements in advance of the PMETB merger in April 2010. In 2010, we will review key aspects of the continuing merger activity. Specifically, we will consider benefits realisation planning and business integration activities, including IT integration.	Paul Buckley	Martin Hart	Q3
Working with partners											
13	33	Revalidation Consultation	Revalidation Operational Plan (2010)	Undertake public consultation on key revalidation policy areas.	Stakeholders are not happy with topics covered in the consultation / Failure to reach all stakeholder groups	Eduaction and Revalidation	10	This review will focus on the GMC's consultation on revalidation, planned for February 2010. We will review the approach taken to the consultation, and its success, particularly in terms of the level of engagement with key interests. We will consider the extent to which the outcome of the consultation has influenced the planning and preparations for introducing revalidation.	Una Lane	TBD	Q4
Delivering value for money											
14		Measuring the impact of Research	Audit and Risk Committee			Corporate - Strategy and Planning	10	Review of the approach to valuing the GMC's research activities, and the extent to which research outcomes are used to inform strategy.	Paul Philip	Ben Jones	Q4

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		Planning, Reporting and Administration									
		Planning					4				
		Reporting and Administration					11				
		Total					138				