
Audit Committee

The 76th meeting of the Audit Committee will take place as follows:

Date: Thursday 17 September 2020

Time: 1pm

Venue: Videoconference

Members: Sue Gallone (Chair)
Eileen Mullan
Julie Parker
Gavin Scott

Enquiries: Ewan Shears, Secretary to the Committee
020 7840 9710
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Agenda

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| 1. | Chairs welcome and introduction | verbal |
| 2. | Apologies for absence | verbal |
| 3. | Approval of agenda | verbal |
| 4. | Declaration of members' interests | verbal |
| 5. | Minutes of the Audit Committee meeting of 3 August 2020
For approval
Ewan Shears – Secretary to the Committee | enclosure 1
AUD 39/20 |
| 6. | Matters arising
To note
Ewan Shears – Secretary to the Committee | enclosure 2
AUD 40/20 |

Papers for discussion/decision

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| 7. | Draft annual report and accounts 2019-20
For discussion
Tian Tian, Director of Finance | enclosure 3
AUD 41/20 |
| 8. | Year in Highlights - designed excerpt
For discussion
Jacqueline Ladds, Executive Director of Policy & External Relations | enclosure 4
AUD 42/20 |
| 9. | External Auditor's report 2019-20
For discussion
Haysmacintyre | enclosure 5
AUD 43/20 |
| 10. | NAO draft report to those charged with governance
For discussion
National Audit Office | enclosure 6
AUD 44/20 |
| 11. | Papers from the HCPC's Internal Auditors, BDO LLP as follows; | |
| | I. Reshaping the Organisation
For discussion | enclosure 7
AUD 45/20 |
| | II. IT controls
For discussion | enclosure 8
AUD 46/20 |
| | III. Internal Audit Plan 2020-21 progress update
To note | enclosure 9
AUD 47/20 |

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| 12. | Strategic Risk Register and development plan
For discussion
Claire Amor, Head of Governance | enclosure 10
AUD 48/20 |
| 13 | Internal Assurance Report
<i>Including:</i>
• <i>Near Miss Summary report</i>
For discussion
Claire Amor, Head of Governance
Anna Raftery, QA Lead | enclosure 11
AUD 49/20 |
| 14. | Annual Complaints report 2019-20
For discussion
Paul Robson, Service and Complaints Manager | enclosure 12
AUD 50/20 |
| 15. | Change in Registration business process
For discussion
Tian Tian, Director of Finance | enclosure 13
AUD 51/20 |

To note

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| 16. | Internal audit recommendations tracker
Ewan Shears, Secretary to the Committee | enclosure 14
AUD 52/20 |
| 17. | Committee forward work plan
Ewan Shears, Secretary to the Committee | enclosure 15
AUD 53/20 |
| 18. | Any other business
Previously notified and agreed by the Chair | verbal |
| 19. | Date & time of next meeting:
Wednesday 11 November 2020, 1pm | verbal |

Private agenda

Resolution

The Committee is invited to adopt one or more of the following:

'The Committee hereby resolves that the remainder of the meeting shall be held in private, because the matters being discussed relate to one or more of the following;

- (a) information relating to a registrant, former registrant or applicant for registration;
- (b) information relating to an employee or officer holder, former employee or applicant for any post or office;
- (c) the terms of, or expenditure under, a tender or contract for the purchase or supply of goods or services or the acquisition or disposal of property;

- (d) negotiations or consultation concerning labour relations between the Council and its employees;
- (e) any issue relating to legal proceedings which are being contemplated or instituted by or against the Committee or the Council;
- (f) action being taken to prevent or detect crime or to prosecute offenders;
- (g) the source of information given to the Committee in confidence; or
- (h) any other matter which, in the opinion of the Chair, is confidential or the public disclosure of which would prejudice the effective discharge of the Committee's or Council's functions.'

Item	Reason for Exclusion
20	H
21	H

- 20. **Private minutes of the Audit Committee meeting of 3 August 2020** enclosure 16
For approval AUD 54/20
Ewan Shears, Secretary to the Committee
- 21. **Matters arising (Private)** enclosure 17
To note AUD 55/20
Ewan Shears – Secretary to the Committee
- 22. **Any other business** verbal
Previously notified and agreed by the Chair