

Audit and Risk Assurance Committee

The 89th meeting of the Audit and Risk Assurance Committee will take place as follows:

Date: Wednesday 14 June 2023

Time: 2pm

Venue: Videoconference

Members: Sue Gallone (Chair)
David Stirling
Graham Masters
Lianne Patterson
Damien Baker

Enquiries: Ewan Shears, Secretary to the Committee
ewan.shears@hcpc-uk.org

Agenda

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 15 March 2023** enclosure 1
For approval
ARAC 15/23
Ewan Shears – Secretary to the Committee
6. **Matters arising** enclosure 2
To note
ARAC 16/23
Ewan Shears – Secretary to the Committee

Papers for discussion/decision

7. **Strategic Risk Register** enclosure 3
Including: ARAC 17/23
 - SR5 Deep Dive – IT and Digital: Strategic and Key Operational RisksFor discussion
Claire Amor, Executive Director of Governance Assurance & Planning
Alastair Bridges, Executive Director of Resources and Business Performance
Geoff Kirk, Head of IT and Digital Transformation
8. **Annual Information Governance Report** enclosure 4
For discussion ARAC 18/22
Maxine Noel, Information Governance Manager
9. Papers from the HCPC's Internal Auditors, BDO LLP as follows;
 - I. **Internal Audit Report – Fitness to Practise** enclosure 5
For discussion ARAC 19/23
Bill Mitchell, BDO LLP
 - II. **Internal Audit Report - Follow up** enclosure 6
For discussion ARAC 20/23
Bill Mitchell, BDO LLP
 - III. **Internal Audit - Annual report and opinion** enclosure 7
For discussion ARAC 21/23
Bill Mitchell, BDO LLP

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| <p>IV. Internal Audit Report - Internal Audit Progress Report
For discussion
Bill Mitchell, BDO LLP</p> | <p>enclosure 8
ARAC 22/23</p> |
| <p>10. Unified Assurance Framework 2022-23: Public Summary
For discussion
Anna Raftery, Head of Assurance and Compliance</p> | <p>enclosure 9
ARAC 23/23</p> |
| <p>11. External Audit 2022-2023 update and planning as follows;</p> | |
| <p>I. External Audit 2022-2023 update
For discussion
haysmacintyre</p> | <p>verbal</p> |
| <p>II. Audit planning report - 2022-23 financial statements audit
For discussion
National Audit Office</p> | <p>enclosure 10
ARAC 24/23</p> |
| <p>12. Annual report and Accounts 2022-2023 update
For discussion
Alastair Bridges, Executive Director of Resources and Business Performance
Claire Amor, Executive Director of Governance Assurance & Planning
Alan Keshtmand, Head of Finance</p> | <p>verbal</p> |
| <p>13. Interim approach to Reserves policy
For discussion
Alastair Bridges, Executive Director of Resources and Business Performance
Alan Keshtmand, Head of Finance</p> | <p>verbal</p> |

To note

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| <p>14. Internal audit recommendations tracker
Ewan Shears, Secretary to the Committee</p> | <p>enclosure 11
ARAC 25/23</p> |
| <p>15. Committee forward work plan
Ewan Shears, Secretary to the Committee</p> | <p>enclosure 12
ARAC 26/23</p> |
| <p>16. Any other business
Previously notified and agreed by the Chair</p> | <p>verbal</p> |
| <p>17. Date & time of next meeting:
Wednesday 13 September 2023, 2pm</p> <ul style="list-style-type: none"> • In person meeting | <p>verbal</p> |

Private agenda

18. 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
19	H
20	H

- 19. **Private minutes of the Audit and Risk Assurance Committee meeting of 15 March 2023** enclosure 13
ARAC 27/23
For approval
Ewan Shears – Secretary to the Committee
- 20. **Unified Assurance Report** enclosure 14
ARAC 28/23
For discussion
Anna Raftery, Head of Assurance and Compliance
Roy Dunn, CIRSO
- 21. **Any other business** verbal
Previously notified and agreed by the Chair