

Audit and Risk Assurance Committee, 14 June 2023

Matters Arising

Executive summary and recommendations

Attached is an actions list as agreed at the last public meeting of the Audit and Risk Assurance Committee.

15 March 2023		
1	<p>Item 7. Strategic Risk Register (report ref: ARAC 30/22)</p> <p>7.5 The SRR will be reconsidered in light of the new corporate plan. A review of the HCPC’s risk appetite was also planned for Q1-Q2 2023-24. Both of these will be presented to the Committee.</p>	<p>Executive:</p> <p>Council will be surveyed on current risk appetite, followed by further discussion in order to inform both the tolerance and categories. Revised risk appetite to be presented to ARAC and Council in September 2023.</p>
2	<p>Item 8.iv. Papers from the HCPC’s Internal Auditors, BDO LLP – Internal Audit - Internal Audit Plan 2022-23 progress report (report ref: ARAC 07/23)</p> <p>8.iv.2 a workshop for Business Transformation took place in January 2023. A second workshop was planned using the outputs of the initial workshop to agree good practice principles and processes to take forward. BDO agreed to provide a summary of the outcomes of the workshops as part of their next update to the Committee.</p>	<p>Executive:</p> <p>BDO will provide an update at the June 2023 meeting along with their Audit Plan progress report.</p>
3	<p>Item 8.iv. Papers from the HCPC’s Internal Auditors, BDO LLP – Internal Audit - Internal Audit Plan 2022-23 progress report (report ref: ARAC 07/23)</p> <p>The Committee thanked BDO for the quick turnaround and noted the outputs reflected in the presentation and requested an update at the next meeting from the</p>	<p>Executive:</p> <p>Appendix 1 lists the Actions provided by BDO along with progress updates from the Executive.</p>

	Executive on how those items were being progressed	
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Decision

The Committee is requested to note the document. No decision is required.

Background information

Please refer to individual papers and minutes for the background to decisions.

Resource implications

None

Financial implications

None.

Appendices

Appendix 1 provides an update of the Actions arising from the Committee workshop held in March 2023.

Date of paper

7 June 2023

APPENDIX 1

Audit and Risk Assurance Workshop Actions 2023

	Action	Executive Update June 2023
1	Unified assurance framework is about right in length, but could also include: regular review of HCPC's progress on managing climate change risks and obligations (from April 2023)	This is something being introduced and will be included in next Assurance paper. The Head of Assurance and Compliance will work with the Head of Estates & Facilities Management to start reporting on this.
	useful to have a regular report on IT implementation activity and deep dives on IT risk.	There is a deep dive scheduled for June 2023 Committee
	should be included in ARAC's public session once everyone is comfortable –check with management	We discussed at the last Committee meeting and agreed there is benefit in keeping it private Agree, Will have a general update on UAF in June public session
2	Deep dives and knowledge on specialist topics deep dives with specialists from management can enhance members' knowledge	Head of IT and DT providing IT deep dive in June 2023. This will continue as guided by ARAC. Deep Dives are a standing item for ARAC meetings.
	BDO & NAO can help with insight	BDO to provide insight
	ARAC need to be alert to when they feel they need more expert support so they ask all the right questions	The Executive will be steered by the Committee on when more/expert information is needed.
3	Risk deep dives are beneficial, but subject choices best decided at the previous meeting	This is currently done.
4	External ARAC member should be more sighted on developments in HCPC	The ARAC Chair will make sure key information is passed to the external member
5	The Chief Executive (Accounting Officer) should attend every meeting The Chair of Council attends once a year, which is about right.	This is currently done. This is usually aligned to the Committee reviewing the Annual Report and Accounts
	6	ARAC private meetings 10 minutes for just members beforehand would be useful could also include auditors – twice a year benefit of reflection on the meeting, but better by correspondence and not immediately after the meeting
7	Formalise the review of committee member performance & CPD needs (as part of overall Council refresh of skills needs)	Committee member reviews and skills audit to be taken forward by incoming Head of Governance once appointed
8	Document succession planning for ARAC members	To be taken forward by incoming Head of Governance once appointed
9	Auditors should meet formally together annually	BDO & NAO have agreed to have a three way discussion, including with Hays M, to share respective plans and findings. The date is to be confirmed, but will be in the next few weeks (June 2023).
10	Auditors to suggest other ARAC chairs or groups to network with	There are no formal groups in the healthcare regulator space that BDO have come across, but Bill Mitchell (BDO) will speak to the Chair of the GMC ARC shortly about opening a dialogue with the Chair of ARAC. There is also a regulator's HIA group which BDO can pass on information about.
11	ARAC Chair to consider putting more detail on the external auditor's management letter points in her report to Council	This will be undertaken once in receipt of the report following the September Committee meeting.