

Audit and Risk Assurance Committee, 9 June 2022

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.

| 9 March 2022 |   |  |
|--------------|---|--|
| 1            | <p><b>Item 9. Audit planning and progress against external audit recommendations</b></p> <p>9.2 The Committee noted that it was too early to confirm whether draft accounts would be available at the Committee’s September meeting or whether a special meeting would be required. This would be kept under review.</p>  | <p><b>Action Executive</b></p> <p>We are aiming to have draft accounts prepared for this date and have not faced any significant issues to put this at risk.</p> |
| 2            | <p><b>Item 9. Audit planning and progress against external audit recommendations</b></p> <p>9.6 The Committee thanked the Executive for the update and presentation, noting it provided some good assurance and that progress against the issues was being made. The Committee noted that the External Audit recommendations were captured in the Committee recommendation tracker, and that dates should be added to items with the updates.</p> | <p><b>Action Executive</b></p> <p>Updates have been provided in the tracker and dates added.</p>   |
| 3            | <p><b>Item 10.i. Papers from the HCPC’s Internal Auditors, BDO LLP – Safeguarding Controls review (report ref: ARAC 04/22)</b></p> <p>10.1.4 The Committee commented that the report was helpful and provided some good assurance. Whilst some of the management actions were reported as being contained in workplans and therefore completed, the Committee agreed that those actions should remain active in the</p>                           | <p><b>Action Executive</b></p> <p>Updates have been provided in the tracker and actions remain live.</p>   |

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|   | recommendation tracker with implementation dates until completed.  |  |
| 4 | <p><b>Item 11. Internal audit recommendations tracker (report ref: ARAC 07/22)</b></p> <p>11.2 The Committee agreed that the tracker should be viewed as part of the main agenda at the next meeting, noting some of the longer-standing items.</p>                                      | <p><b>Action Executive</b></p> <p>The tracker is on the main agenda at this Committee meeting.</p>   |
| 5 | <p><b>Item 12. Committee forward work plan (report ref: ARAC 08/22)</b></p> <p>12.2 The Committee agreed that the deep dive topics suggested at the Committee workshop in February 2022, would be scheduled by the Chair, the Head of Governance and the Secretary to the Committee.</p> | <p><b>Action Executive/Committee Chair</b></p> <p>A deep dive of strategic Risk 6 in relation to regulatory reform was agreed and will be presented by the Chief Executive and Registrar to the Committee at this meeting.</p> |

### **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**

None.

### **Date of paper**

1 June 2022