

## Annex 2

### Audit Committee: Terms of Reference

The **Audit Committee** is to:

1. advise the Council and the Registrar (as Accounting Officer) on the appointment of internal and external auditors;
2. approve internal and external audit programmes and fees;
3. review the external auditors' management letters and any other relevant reports and report on these to the Council as appropriate;
4. receive reports on the internal audit work plan and consider appropriate action arising from them;
5. review the Council's annual report and accounts and make recommendations to the Council and the Registrar (as Accounting Officer) as appropriate;
6. consider whether risk management processes are adequate for all risks to which the Council is exposed and approve or, where the Committee considers that significant policy issues are involved, recommend that the Council approve measures to eliminate or mitigate against them;
7. at the request of the Council, advise it on matters of corporate governance (but without limiting the Committee's power to make recommendations to the Council on corporate governance issues arising from the work of the auditors);
8. consider and make recommendations to the Council and the Registrar (as Accounting Officer) as appropriate on the Council's:
  - 8.1 accounting policies;
  - 8.2 anti-fraud policies; and
  - 8.3 'whistle-blowing' processes.

**Audit Committee**

**The 53<sup>rd</sup> meeting of the Audit Committee will take place as follows:**

**Date:** Wednesday 16 March 2016

**Time:** 10:30 am

**Venue:** The Council Chamber, Health and Care Professions Council, Park House,  
184 Kennington Park Road, London SE11 4BU

**Members:** Richard Kennett (Chair)  
Stephen Cohen  
Eileen Mullan  
Julie Parker

**Enquiries:** Claire Amor, Secretary to the Committee  
020 7840 9710  
claire.amor@hcpc-uk.org

## Public Agenda

- |   |   |                          |
|---|---|--------------------------|
| 1 | <b>Apologies for absence</b>  | verbal                   |
| 2 | <b>Approval of agenda</b>   | verbal                   |
| 3 | <b>Declaration of members' interests</b>  | verbal                   |
| 4 | <b>Minutes of the Audit Committee meeting of 26 November 2015</b><br>Claire Amor – Secretary to the Committee | enclosure 1<br>AUD 01/16 |

### Items for discussion/approval

- |    |  |                          |
|----|--|--------------------------|
| 5  | <b>Internal Audit report - Consultation arrangements</b><br>Michael Guthrie – Director of policy and Standards                                     | enclosure 2<br>AUD 02/16 |
| 6  | <b>Internal Audit - progress report 2015-16 and 2016-17 plan</b><br>Claire Amor – Secretary to the Committee                                       | enclosure 3<br>AUD 03/16 |
| 7  | <b>Review of internal audit recommendations</b><br>Claire Amor – Secretary to the Committee  | enclosure 4<br>AUD 04/16 |
| 8  | <b>Performance Review of the Internal Auditor</b><br>Claire Amor – Secretary to the Committee  | enclosure 5<br>AUD 05/16 |
| 9  | <b>NAO audit update</b><br>Andy Gillies – Director of Finance  | verbal                   |
| 10 | <b>Business Process Improvement report</b><br>Roy Dunn – Head of Business Process Improvement  | enclosure 6<br>AUD 06/16 |
| 11 | <b>Stage 1 BSI ISO10002:2014 assessment</b><br>Roy Dunn – Head of Business Process Improvement   | enclosure 7<br>AUD 07/16 |
| 12 | <b>Risk register and risk owner presentations</b><br>Roy Dunn – Head of Business Process Improvement<br>Greg Ross-Sampson – Director of Operations | enclosure 8<br>AUD 08/16 |
| 13 | <b>Annual report timetable</b><br>Claire Amor – Secretary to the Committee   | enclosure 9<br>AUD 09/16 |
| 14 | <b>Any other business</b><br>Previously notified and agreed by the Chair   |                          |
| 15 | <b>Date &amp; time of next meeting:</b><br>Wednesday 15 June 2016  |                          |

**Audit Committee**

**The 54<sup>th</sup> meeting of the Audit Committee will take place as follows:**

**Date:** Wednesday 15 June 2016

**Time:** 10:30 am

**Venue:** The Council Chamber, Health and Care Professions Council, Park House,  
184 Kennington Park Road, London SE11 4BU

**Members:** Richard Kennett (Chair)  
Stephen Cohen  
Eileen Mullan  
Julie Parker

**Enquiries:** Claire Amor, Secretary to the Committee  
020 7840 9710  
claire.amor@hcpc-uk.org

## Public Agenda

- |   |  |                          |
|---|--|--------------------------|
| 1 | <b>Apologies for absence</b>   | verbal                   |
| 2 | <b>Approval of agenda</b>  | verbal                   |
| 3 | <b>Declaration of members' interests</b>   | verbal                   |
| 4 | <b>Minutes of the Audit Committee meeting of 16 March 2016</b><br>Claire Amor – Secretary to the Committee | enclosure 1<br>AUD 10/16 |
| 5 | <b>Matters arising</b><br>Claire Amor – Secretary to the Committee   | enclosure 2<br>AUD 11/16 |

### Items for discussion/approval

- |    |   |                           |
|----|---|---------------------------|
| 6  | <b>Internal audit report – Core financial controls</b><br>Tian Tian – Head of Financial Accounting                        | enclosure 3<br>AUD 12/16  |
| 7  | <b>Internal audit – update on the 5 year plan model review</b><br>Andy Gillies – Director of Finance                      | enclosure 4<br>AUD 13/16  |
| 8  | <b>Review of internal audit recommendations</b><br>Claire Amor – Secretary to the Committee                               | enclosure 5<br>AUD 14/16  |
| 9  | <b>Internal audit annual report 2015-16</b><br>Andy Gillies – Director of Finance   | enclosure 6<br>AUD 15/16  |
| 10 | <b>Internal audit plan 2016-17</b><br>Tian Tian – Head of Financial Accounting  | enclosure 7<br>AUD 16/16  |
| 11 | <b>NAO report to those charged with governance</b><br>Andy Gillies – Director of Finance                                  | enclosure 8<br>AUD 17/16  |
| 12 | <b>Draft Audit Committee annual report 2015-16</b><br>Claire Amor – Secretary to the Committee                            | enclosure 9<br>AUD 18/16  |
| 13 | <b>Draft annual report and accounts 2015-16</b><br>Tian Tian – Head of Financial Accounting                               | enclosure 10<br>AUD 19/16 |
| 14 | <b>BPI report</b><br>Roy Dunn – Head of Business Process Improvement  | enclosure 11<br>AUD 20/16 |
| 15 | <b>BSI ISO9001 &amp; ISO27001 audit reports</b><br>Roy Dunn – Head of Business Process Improvement                        | enclosure 12<br>AUD 21/16 |
| 16 | <b>Risk owner presentations</b><br>John Barwick – Head of Investigations<br>Jacqueline Ladds – Director of Communications | enclosure 13<br>AUD 22/16 |

- 17 **Any other business**  
Previously notified and agreed by the Chair

- 18 **Date & time of next meeting:**  
Tuesday 6 September 2016

### 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

### Part 2 – Private Agenda

- 19 **Audit Committee meeting with internal and external auditors'** verbal  
Claire Amor – Secretary to the Committee
- 20 **Any other business**  
Previously notified and agreed by the Chair

**Audit Committee**

**The 55<sup>th</sup> meeting of the Audit Committee will take place as follows:**

**Date:** Tuesday 6 September 2016

**Time:** 10:30 am

**Venue:** The Council Chamber, Health and Care Professions Council, Park House,  
184 Kennington Park Road, London SE11 4BU

**Members:** Richard Kennett (Chair)  
Stephen Cohen  
Eileen Mullan  
Julie Parker

**Enquiries:** Claire Amor, Secretary to the Committee  
020 7840 9710  
claire.amor@hcpc-uk.org

## Public Agenda

- |   |   |                          |
|---|---|--------------------------|
| 1 | <b>Apologies for absence</b>  | verbal                   |
| 2 | <b>Approval of agenda</b>   | verbal                   |
| 3 | <b>Declaration of members' interests</b>  | verbal                   |
| 4 | <b>Minutes of the Audit Committee meeting of 15 June 2016</b><br>Claire Amor – Secretary to the Committee | enclosure 1<br>AUD 23/16 |
| 5 | <b>Matters arising</b><br>Claire Amor – Secretary to the Committee  | enclosure 2<br>AUD 24/16 |

## Items for discussion/approval

- |    |   |                           |
|----|---|---------------------------|
| 6  | <b>Management accounts process</b><br>Andy Gillies – Director of Finance  | enclosure 3<br>AUD 25/16  |
| 7  | <b>Internal audit report – review of whistleblowing arrangements</b><br>Andy Gillies – Director of Finance  | enclosure 4<br>AUD 26/16  |
| 8  | <b>Internal audit schedule 2016-17</b><br>Claire Amor – Secretary to the Committee  | enclosure 5<br>AUD 27/16  |
| 9  | <b>Review of internal audit recommendations</b><br>Claire Amor – Secretary to the Committee   | enclosure 6<br>AUD 28/16  |
| 10 | <b>BPI report</b><br>Roy Dunn – Head of Business Process Improvement  | enclosure 7<br>AUD 29/16  |
| 11 | <b>The use of ISO standards at HCPC</b><br>Roy Dunn – Head of Business Process Improvement  | enclosure 8<br>AUD 30/16  |
| 12 | <b>Risk Register update</b><br>Roy Dunn – Head of Business Process Improvement  | enclosure 9<br>AUD 31/16  |
| 13 | <b>Risk Management strategy &amp; risk appetite statement</b><br>Roy Dunn – Head of Business Process Improvement  | enclosure 10<br>AUD 32/16 |
| 14 | <b>Risk owner presentations</b><br>Andy Gillies – Director of Finance<br>Guy Gaskins – Director of Information Technology<br>Teresa Haskins – Director of Human Resources | verbal                    |
| 15 | <b>Any other business</b><br>Previously notified and agreed by the Chair  |                           |



16 **Date & time of next meeting:**  
Tuesday 22 November 2016

### 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
17	H

### Part 2 – Private Agenda

17 **Internal Auditor performance review**  
Claire Amor – Secretary to the Committee

enclosure 11  
AUD 33/16

18 **Any other business**  
Previously notified and agreed by the Chair

**Audit Committee**

**The 56<sup>th</sup> meeting of the Audit Committee will take place as follows:**

**Date:** Tuesday 22 November 2016

**Time:** 10:30 am

**Venue:** The Council Chamber, Health and Care Professions Council, Park House,  
184 Kennington Park Road, London SE11 4BU

**Members:** Richard Kennett (Chair)  
Stephen Cohen  
Eileen Mullan  
Julie Parker

**Enquiries:** Claire Amor, Secretary to the Committee  
020 7840 9710  
claire.amor@hcpc-uk.org

## Public Agenda

- |   |   |                          |
|---|---|--------------------------|
| 1 | <b>Apologies for absence</b>  | verbal                   |
| 2 | <b>Approval of agenda</b>   | verbal                   |
| 3 | <b>Declaration of members' interests</b>  | verbal                   |
| 4 | <b>Minutes of the Audit Committee meeting of 6 September 2016</b><br>Claire Amor – Secretary to the Committee | enclosure 1<br>AUD 34/16 |
| 5 | <b>Matters arising</b><br>Claire Amor – Secretary to the Committee  | enclosure 2<br>AUD 35/16 |

### Items for discussion/approval

- |    |   |                           |
|----|---|---------------------------|
| 6  | <b>NAO 2016-17 audit planning report</b><br>Tian Tian – Head of Financial Accounting  | enclosure 3<br>AUD 36/16  |
| 7  | <b>Internal audit report – Non-Case Preparation and Presentation<br/>Legal Services Cost Management</b><br>Andy Gillies – Director of Finance | enclosure 4<br>AUD 37/16  |
| 8  | <b>Internal audit report – Partner Recruitment</b><br>Teresa Haskins – Director of Human Resources  | enclosure 5<br>AUD 38/16  |
| 9  | <b>Internal audit report – Registration appeals</b><br>Greg Ross-Sampson – Director of Operations   | enclosure 6<br>AUD 39/16  |
| 10 | <b>Internal Audit Progress Report 2016-17</b><br>Claire Amor – Secretary to the Committee   | enclosure 7<br>AUD 40/16  |
| 11 | <b>Review of internal audit recommendations</b><br>Claire Amor – Secretary to the Committee   | enclosure 8<br>AUD 41/16  |
| 12 | <b>Finance department strategy</b><br>Andy Gillies – Director of Finance  | enclosure 9<br>AUD 42/16  |
| 13 | <b>BPI report</b><br>Roy Dunn – Head of Business Process Improvement  | enclosure 10<br>AUD 43/16 |
| 14 | <b>BSI ISO9001:2008 Audit Report</b><br>Roy Dunn – Head of Business Process Improvement   | enclosure 11<br>AUD 44/16 |
| 15 | <b>Risk owner presentations</b><br>Abigail Gorringe – Director of Education   | enclosure 12<br>AUD 45/16 |

16 **Any other business**  
Previously notified and agreed by the Chair

17 **Date & time of next meeting:**  
Wednesday 15 March 2017

### 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
18	H

### Part 2 – Private Agenda

18 **Private minutes of the Audit Committee meeting of 6 September 2016**  
Claire Amor – Secretary to the Committee

enclosure 13  
AUD 46/16

19 **Any other business**  
Previously notified and agreed by the Chair