

## Audit and Risk Assurance Committee, 9 November 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.

14 September 2022		
1	<p><b>Item 6. Matters arising (report ref: ARAC 29/22)</b></p> <p>6.1 With regards to matter arising four, the Committee noted the wording left some ambiguity in relation to the possibility of a registration being completed without payment, and asked the Executive to revert to them if there was a possibility of that occurring outside of the system.</p>	<p>Executive:</p> <p>We have confirmed with both the Finance Operations Team and Registration Operations that registrations cannot be completed without receiving payment upfront.</p>
2	<p><b>Item 7. Strategic Risk Register (report ref: ARAC 30/22)</b></p> <p>7.4 The Committee suggested that mitigations relating to SR5 and SR6 should include ‘how we do more with what we’ve got’. The Executive noted that this was considered in the mitigations and could be brought out further in the risk register. The budgeting and corporate planning process was being developed for next year and would include a budget challenge process, which was already part of the current decision-making process. The Executive further noted that it was also important that consideration of staff wellbeing was factored into that process given the already high demands placed on employees. The Executive agreed to update the strategic risk register with the above mitigations.</p> <p>7.11 The Committee thanked the Executive Director of Resources and Business Performance for the illuminating verbal deep dive. It articulated details that was not</p>	<p>Executive:</p> <p>The Strategic Risk Register has been updated to ensure these points are properly reflected.</p>

	evident from the paperwork and the Committee requested that some of the other mitigations were included in the next iteration of the strategic risk register.	
3	<p><b>Item 7. Strategic Risk Register (report ref: ARAC 30/22)</b></p> <p>7.12 The Committee agreed the ‘The Golden Thread’ topic that was discussed initially at the Committee’s workshop in January 2022, should be the topic for the Committee’s next deep dive. This was described by the Committee as the link between the strategic plan, through team plans and on to individual objectives and how performance and budget management and workforce planning are linked in. The Executive Director of Professional Practice and Insight agreed to describe how that was applied in their directorate, with other ELT colleagues supplementing the description.</p>	<p>Executive:</p> <p>Due to availability and focus on the investment policy it has been agreed with the Chair of Committee to postpone this deep dive until the March 2023 meeting. This has been added to the Committee forward planner for March 2023.</p>
4	<p><b>Item 8. Operational Risk Register – annual review (report ref: ARAC 31/22)</b></p> <p>8.6 The Committee was pleased to note the development of the operational risk register, which evidenced how the HCPC’ risk management was maturing and integrating and encouraging robust discussions. It was not the function of the Committee to go through the whole register and a summary of key risks and changes would be helpful in future.</p>	<p>Executive:</p> <p>The summary of key risks and major changes to risks will be provided each year in the autumn Operational Risk snapshot provided to ARAC. The number and level of residual risks by department is included in the Quarterly Internal Assurance report.</p>
5	<p><b>Item 12. Annual Service and Complaints report 2021-22 (report ref: ARAC 33/22)</b></p> <p>12.7 The Committee thanked the Service and Complaints Manager for the thought-provoking report and agreed that the points raised on complaints and indirect complaints, such as comments on social media or recruitment platforms, should be the subject of a deep dive in the context of risks arising from expectations and the reputation of the HCPC.</p>	<p>Executive:</p> <p>This has been added to the Committee forward planner to schedule.</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**

2 November 2022