

Audit and Risk Assurance Committee

The 88th meeting of the Audit and Risk Assurance Committee will take place as follows:

Date: Wednesday 15 March 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 9 November 2022** enclosure 1
For approval
Ewan Shears – Secretary to the Committee ARAC 01/23
6. **Matters arising** enclosure 2
To note
Ewan Shears – Secretary to the Committee ARAC 02/23

Papers for discussion/decision

7. **Strategic Risk Register** enclosure 3
Including: ARAC 03/23
 - SR5 Deep Dive – how the budget is preserving financial viabilityFor discussion
Claire Amor, Head of Governance
Alastair Bridges, Executive Director of Resources and Business Performance
8. Papers from the HCPC's Internal Auditors, BDO LLP as follows;
 - I. **Internal Audit Report - Diversity Review** enclosure 4
To note ARAC 04/23
Bill Mitchell, BDO LLP
 - II. **Internal Audit Report - Unified Assurance Framework** enclosure 5
To note ARAC 05/23
Bill Mitchell, BDO LLP
 - III. **Internal Audit Report - Key Financial Controls Follow up** enclosure 6
To note ARAC 06/23
Bill Mitchell, BDO LLP
 - IV. **Internal Audit Plan 2022-23 progress report** enclosure 7
In addition: ARAC 07/23
 - Verbal update - Committee workshop outputsTo note
Bill Mitchell, BDO LLP

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| <p>V. Draft Internal Audit Plan 2023-24
For approval
Bill Mitchell, BDO LLP</p> | <p>enclosure 8
ARAC 08/23</p> |
| <p>9. External Audit 2022-2023 planning as follows;</p> | |
| <p>I. Audit Planning Report 2022-23
For discussion
haysmacintyre</p> | <p>enclosure 9
ARAC 09/23</p> |
| <p>II. Audit planning – verbal update
For discussion
National Audit Office</p> | <p>verbal</p> |
| <p>10. HCPC Audit planning and update of recommendations
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>11. Internal audit recommendations tracker
Ewan Shears, Secretary to the Committee</p> | <p>enclosure 10
ARAC 10/23</p> |
| <p>12. Committee forward work plan
Ewan Shears, Secretary to the Committee</p> | <p>enclosure 11
ARAC 11/23</p> |
| <p>13. Any other business
Previously notified and agreed by the Chair</p> | <p>verbal</p> |
| <p>14. Date & time of next meeting:
Wednesday 14 June 2023, 2pm</p> | <p>verbal</p> |

Private agenda

15. **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
16	H
17	H
18	H

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| 16. | <p>Private minutes of the Audit and Risk Assurance Committee meeting of 9 November 2022
 For approval
 Ewan Shears – Secretary to the Committee</p> | enclosure 12
ARAC 12/23 |
| 17. | <p>Private Matters arising
 To note
 Ewan Shears – Secretary to the Committee</p> | enclosure 13
ARAC 13/23 |
| 18. | <p>Unified Assurance Report
 For discussion
 Anna Raftery, QA Lead
 Roy Dunn, CIRSO</p> | enclosure 14
ARAC 14/23 |
| 19. | <p>Any other business
 Previously notified and agreed by the Chair</p> | verbal |