

**Health Professions Council
Audit Committee 26 June 2007**

ANNUAL REVIEW OF ACTIONS TAKEN IN 2006-7: PUBLIC MEETINGS

Executive Summary and Recommendations

Introduction

An annual review of the actions taken by the Committee in its public meetings in 2006-7 is attached.

Decision

The Committee is asked to note the actions that have been taken.

Background information

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

Resource implications

None.

Financial implications

None.

Appendices

List of actions taken by the Committee in its public meetings in 2006-7.

Date of paper

14 June 2007.

ACTION POINTS

AUDIT COMMITTEE - PUBLIC MEETINGS

2006-7

	Action point (and location in the minutes)	For the attention of	Action by	Comments
1	Chairman to hold informal meetings with Baker Tilly, PKF and National Audit Office. (26 September 2006, 3.2)	Chairman	Ongoing	Actioned.
2	ISO audits to be coordinated with internal and external audit work. Schedule of ISO audits to be presented to next Committee meeting, together with the outcomes of, and responses to, previous audits. (26 September 2006, 4.3)	RB	6 December 2006	Actioned. See paper on agenda for meeting on 6 December 2006.
3	Findings of ISO audits to be regularly received from Quality Manager. (26 September 2006, 4.4)	RB	At each meeting	Actioned. See papers presented to subsequent meetings for details.
4	Quality management system to be mentioned at HPC listening events. (26 September 2006, 4.5)	Communications	Ongoing	See action point 18.
5	2006-07 year end timetable to be circulated to Committee Chairmen. (26 September 2006, 5.4)	CB	6 December 2006	Actioned.
6	Risk management: Council to be briefed on risk management systems in place and at each Council meeting a report should be presented, outlining current major strategic risks to organisation together with details of action being taken to mitigate and manage risks, for members to consider. (26 September 2006, 6.5)	MJS and PKF	6 December 2006	Actioned. Risk register will be included on draft Council agenda twice a year. Each Council agenda is subject to agreement by the President.

Date
2007-01-18

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Doc Type
PPR

Title
Executive Summary public
meetings actions 2006-7 Audit
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Status
Draft
DD: None

Int. Aud.
Public
RD: None

7	Finalised internal audit reports to be circulated to members. (26 September 2006, 6.9)	PKF	Ongoing	Actioned. See action point 14.
8	Model agenda for the Audit Committee: Timetable of business to be revised as discussed. (26 September 2006, 7.5)	CB	6 December 2006	Actioned. See paper on agenda for 6 December 2006.
9	Quality Manager to discuss inputting feedback from listening events into HPC quality management system. (6 December 2006, 6.2)	RB/ JL	28 February 2007	Actioned.
10	Financial Regulations: National Audit Office to provide wording about Chief Executive's role as Accounting Officer. (6 December 2006, 7.4)	Mr Ecroyd	31 December 2006	Actioned. Wording received and incorporated into regulations. See action point 12 below.
11	Financial Regulations: PKF to provide wording about Director of Finance's responsibility for regularly reviewing the regulations. (6 December 2006, 7.4)	Mr Weighell	31 December 2006	Actioned. Wording received and incorporated into regulations. See action point 12 below.
12	Financial Regulations: Amended version to be presented to next Audit Committee meeting for further discussion. (6 December 2006, 7.5)	MJS	28 February 2007	Actioned. Further paper on agenda on 28 February 2007. See action point 30.
13	Training for the Audit Committee: Training session to be held on afternoon of 28 February 2007 and content of training agreed, subject to any further requests for amendments from members. (6 December 2006, 9.3)	CB	28 February 2007	Actioned.

14	Internal audit: Finalised internal audit reports, once available, to be circulated to members electronically. (6 December 2006, 11.6)	PKF	Ongoing	Actioned. Repeats a decision made on 26 September 2006. See action point 7.
15	Internal audit: Chairman and Mr Kennett to meet PKF to discuss Committee's concerns about internal audit work and discuss what action could be taken by HPC to facilitate internal audit, e.g. confirming process and protocols. (6 December 2006, 11.7)	Chairman/ Mr Kennett	31 December 2006	Actioned. Meeting held on 14 December 2006.
16	Internal audit: Management response to be included in all future internal audit reports. (6 December 2006, 11.12)	PKF	Ongoing	Actioned.
17	Internal audit: PKF to provide guidance on best practise in all future internal audit reports, to facilitate HPC's work towards highest possible rating in all areas. (6 December 2006, 11.13)	PKF	Ongoing	
18	Stakeholders to be made aware of all that is being done to improve HPC's systems. (28 February 2007, 6.3)	JL	Ongoing	See action point 4.
19	Baker Tilly Audit Strategy: To be implemented. (28 February 2007, 7.4)	Baker Tilly	Ongoing to July 2007	Actioned.
20	National Audit Office Audit Strategy: To be implemented (28 February 2007, 8.4)	National Audit Office	Ongoing to July 2007	Actioned.
21	Accounting Officer: Chief Executive to meet representatives of National Audit Office to clarify situation. (28 February 2007, 8.6)	MJS	26 June 2007	
22	Updated Risk Register: Director of Finance to meet PKF to discuss possible refinements to register and ensure that related risks in different	SL/ PKF	25 September 2007	Updated risk register to be considered in June 2007 and September 2007.

	sections are cross-referenced. Amended register to be considered at a future meeting. (28 February 2007, 9.6)			
23	Internal audit: Audit timetable for each internal audit to be included as appendix to finalised internal report to identify whether there had been any delays. (28 February 2007, 10.5)	PKF	Ongoing	
24	Internal audit protocol: To be used in relation to all upcoming internal audits. (28 February 2007, 10.6)	Executive/ PKF	Ongoing	
25	Internal audit: Committee to hold additional meeting to consider finalised reports on IT and Fitness to Practise. (28 February 2007, 11.7)	CB	27 March 2007	Actioned. Further meeting arranged for 27 March 2007.
26	Internal audit report: Corporate governance and risk management - Due dates to be added to report and amended report to be considered by future meeting. (28 February 2007, 12.8)	CB	27 March 2007	Actioned. See further paper included on agenda for 27 March 2007.
27	Internal audit report: Financial systems - Management Accountant to make monthly presentation on HPC finances to Executive Management Team meeting. (28 February 2007, 13.5)	SL	Ongoing	Actioned.
28	Internal audit report: Financial systems Computerised purchase order system to be implemented by March 2008. (28 February 2007, 13.7)	SL	March 2008	Actioned.
29	PKF Audit Plan 2007-8: Plan to be amended to reallocate time for specific areas. Plan to be considered further at 27 March meeting in light of internal audit report on Information Technology. (28 February 2007, 14.7)	PKF	Ongoing to March 2008	Actioned. See action points 33 and 34.

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30	Financial Regulations: Draft regulations recommended to Council for ratification. (28 February 2007, 15.3)	MJS	29 March 2007	Actioned. Considered by Council on 29 March 2007. Council agreed that the Audit Committee and the Finance and Resources Committee should further consider the regulations.
31	Fitness to Practise internal audit: Future reports should include an analysis of effectiveness, including trends in number of cases, cost and duration of each case and number of cases subject to review by Council for Healthcare Regulatory Excellence and in the courts. (27 March 2007, 5.8)	PKF	Ongoing	
32	Information Technology: Internal audit report to be amended to include outstanding items for 2006-7 internal audit plan and to reflect discussion in Committee. Revised report to be presented to a future meeting. (27 March 2007, 6.7)	PKF	26 June 2007	
33	PKF Audit Plan 2007-8: Executive and PKF to negotiate timing of fieldwork on Registrations function and outcome to be reported to next meeting of the Committee. (27 March 2007, 7.5)	PKF/ GRS	26 June 2007	
34	Subject to action point 33, internal audit plan to be carried out. (27 March 2007, 7.6)	PKF	Ongoing to March 2008	
35	Internal audit report - Corporate governance and risk management: Executive and PKF to review report and agree wording of recommendations and management responses. Amended version of report to be considered by a future meeting. (27 March 2007, 8.3)	PKF/ SL/ NOS	26 June 2007	