
Audit Committee

The 77th meeting of the Audit Committee will take place as follows:

Date: Wednesday 11 November 2020

Time: 1pm

Venue: Videoconference

Members: Sue Gallone (Chair)
Eileen Mullan
Julie Parker
Gavin Scott

Enquiries: Ewan Shears, Secretary to the Committee
020 7840 9710
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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 of 17 September 2020** enclosure 1
For approval
AUD 56/20
Ewan Shears – Secretary to the Committee
6. **Matters arising** enclosure 2
To note
AUD 57/20
Ewan Shears – Secretary to the Committee

Papers for discussion/decision

7. **Strategic Risk Register**
Including:
 - *Strategic risk 5, failure of governance, leadership and culture*For discussion enclosure 3
AUD 58/20
Claire Amor, Head of Governance
John Barwick, Chief Executive and Registrar
8. **HCPC Risk Appetite review** enclosure 4
For discussion
AUD 59/20
Claire Amor, Head of Governance
9. Papers from the HCPC's Internal Auditors, BDO LLP as follows;
 - I. **PSA and internal reporting** enclosure 5
For discussion
AUD 60/20
 - II. **FTP follow up** enclosure 6
For discussion
AUD 61/20
 - III. **Internal Audit Plan 2020-21 progress update** enclosure 7
To note
AUD 62/20
10. **Internal Assurance Report** enclosure 8
For discussion
AUD 63/20
Claire Amor, Head of Governance
Anna Raftery, QA Lead
Roy Dunn, CISRO

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| 11. | Review of internal whistleblowing policy
For recommendation
Claire Amor, Head of Governance | enclosure 9
AUD 64/20 |
| 12. | Financial Planning & Analysis Journey
For discussion
Margaret Osibowale, Head of Financial Planning & Analysis | verbal |
| 13. | External Audit planning report
For discussion
Haysmacintryre | enclosure 10
AUD 65/20 |
| 14. | External Audit planning report
For discussion
National Audit Office | enclosure 11
AUD 66/20 |

To note

- | | | |
|-----|---|---------------------------|
| 15. | Internal audit recommendations tracker
Ewan Shears, Secretary to the Committee | enclosure 12
AUD 67/20 |
| 16. | Committee forward work plan
Ewan Shears, Secretary to the Committee | enclosure 13
AUD 68/20 |
| 17. | Any other business
Previously notified and agreed by the Chair | verbal |
| 18. | Date & time of next meeting and schedule for 2021:
(Wednesday 3 February 2021, 1pm workshop)
Wednesday 10 March 2021, 1pm
Wednesday 9 June 2021, 1pm
Wednesday 16 September 2021, 1pm
Wednesday 10 November 2021, 1pm | verbal |

Private agenda

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
20	H

- 19. **Annual report and accounts plan 2020-21** enclosure 14
For approval AUD 69/20
Tian Tian, Director of Finance
- 20. **External audit performance review** verbal
For discussion
Tian Tian, Director of Finance
- 21. **Any other business** verbal
Previously notified and agreed by the Chair