hcpc health & care professions council

Audit and Risk Assurance Committee, 10 November 2021

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.

10 March 2021		
1.	**Item 9ii. Papers from the HCPC's Internal Auditors, BDO LLP - Intelligence gathering review (report ref: ARAC 05/21)** 9.ii.5 In response to a question the Committee noted that the ownership of data processes and data quality would require a focal point at SMT(now ELT) level, with end-to-end responsibility, and if there was a Council member who could provide a level of expertise then that would be beneficial in acting as a critical friend. The Executive agreed to clarify ownership and governance of data and intelligence. **June 2021 update:** The Chair of Committee requested this item remained as a live action and asked the Executive to provide a timescale with the next update.	Executive: We currently hold an agreed list of data owners as part of our ISO27001 compliance documentation. The Head of Insight and Analytics has been recruited and started on 1 Nov. He has ownership of the insight and intelligence end to end process and reports into ED Professional Practice & Insight. The Head of I&A is responsible for delivering our insight and analytics work in accordance with the Insight and Intelligence Framework approved by Council in September 2021 As part of recent Council recruitment, we have been seeking a Council member with data skills. Data skills
11 June 2021		has also been added to the
2.	**Item 9.iv Internal Audit Plan 2021-22 progress update (report ref: ARAC 19/21)** 9.iv.8 The Committee noted that the CPD audit was one of the core areas to be reviewed but recognised that if the QA team were covering this area the	Council Member skills matrix. We do not intend to assign a lead at Council level. The QA CPD report was shared with the Committee outside of the meeting.

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	Committee would support the change in the plan for the reasons given, on condition there was collaboration with BDO on the audit as suggested by the Executive.

The Committee requested that the QA findings should be presented to the Committee. | |
| **16 September 2021** | | |
| 3. | **Item 5. Minutes of the Audit Committee meeting of 11 November 2020 (report ref: ARAC 27/21)**

In response to a question the Committee clarified that in paragraph 7.7 the word 'exploiting' should read as 'exploring' and it was noted that paragraph 10.6 would need amending for clarity. The Secretary to the Committee would update these. | Executive:

This has been amended |
| 4. | **Item 6. Matters arising (report ref: ARAC 28/21)**

It was confirmed that the internal whistleblowing policy had been reviewed earlier in the year and the register of policies would be in place by November. | Executive:

A draft register of policies is in place and is being refined. We are actively working through it to prioritise based on business needs. |
| 5. | **Item 7. Strategic Risk Register (report ref: ARAC 29/21)**
Strategic Risk 6

7.13 The Committee noted that the wording inside the risk appetite block of SR6 was not consistent where it referred to 'within risk appetite' and this should be amended.

7.14 The Committee highlighted that in relation to SR6 there was a concern that negative social media comments related to communication issues with the registration department. As these were issues arising over a sustained period of time, they had become an organisational reputational risk that should be identified. | Executive:

Incorporated into the SRR |
| 6. | **Item 8. Operational Risk Register (report ref: ARAC 30/21)** | Executive: |

	8.5 The Committee agreed to receive the full Operational Risk Register annually with a commentary on changes or trends through the year of review. When reviewing the Strategic Risk Register at each meeting, the Committee agreed that it would be helpful for any major issues regarding operational risks to be drawn to their attention. In the deep dives into specific strategic risks, the Committee asked the ELT owner to bring to their attention associated operational risks of significance too.	This will be done and supported by the Secretary to the Committee.
7.	**Item 9. Annual report and Accounts and External Audit 2020-2021 update** 9.6 The Head of Governance explained that the annual report and accounts need to be laid by the end of the calendar year and reminded the Committee that once Haysmacintyre have completed their work the NAO would need to complete their review. Therefore, the deadline date for approval was the middle of November 2021 to avoid non-compliance. The NAO noted that they would need to ensure available resource in order to fulfil their full audit responsibilities.	Executive: A verbal update is on the agenda for the November Committee meeting.
8.	**Item 10.i. Papers from the HCPC's Internal Auditors, BDO LLP – Internal Audit - Financial Modelling (report ref: ARAC 31/21)** 10.i.7 The Committee asked for assurance that actions would be completed as in the report, as this would be challenging with current resourcing and other priorities. Shortlisting for the new Executive Director of Corporate Services is due on 17 September 2021. The Committee requested that the completion dates in the report be revisited to ensure they were realistic.	Executive: The Audit tracker has been updated along with some of the completion dates.
9.	**Item 11. Internal Assurance Report (report ref: ARAC 34/21)** 11.3 The Committee welcomed the single source tender items being included in the report and noted it would be helpful to know	Executive: This will be included in future reports. The procurement policy has been reviewed and approved by Council in

	the value of these. The Executive agreed that a private appendix could be produced. The Executive also agreed to review the appropriateness of the level of challenge provided to individuals seeking single source tenders.	September which strengthens the single source process.
10.	**Item 12. Annual Service and Complaints report 2020-21 (report ref: ARAC 35/21)** 12.7 Two Committee members provided verbal feedback in relation to their own difficult experiences in using the new automated processes and asked for assurance that those systems are working properly. The Executive thanked them for their feedback and assured the Committee that they would investigate further and respond.	Executive: Without commenting on the two Committee members individual experience, the Committee should be assured that renewal rates this year are broadly in line with two years ago demonstrating that for the majority of registrants online renewal is a straightforward experience. The new system went live in October 2020. Registration renewal can be completed by the registrant online using their HCPC account. The first time the Registrant uses their HCPC account they have to activate it. This requires the applicant to use the email address the HCPC has on record for them (this is the same email address that we sent the invitation to renew and reminders). If the registrant does not remember this email address or has changed it and not informed the HCPC they need to contact the HCPC to update their details. We have published a blog on how to renew, updated our website and shared information with unions and professional bodies about registration renewals and the importance of keeping the email address up to date.
11.	**Item 15. Committee forward work plan (report ref: ARAC 39/21)** 15.2 Haysmacintyre noted that the Audit	Executive: The forward plan has been

	planning for 2022 item would need to be moved to after November 2021 due to the late completion of the 2021 Audit.	updated.

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

03 November 2021