

Audit and Risk Assurance Committee

The 91st meeting of the Audit and Risk Assurance Committee will take place as follows:

Date: Wednesday 15 November 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 20 September 2023** enclosure 1
For approval
ARAC 45/23
Ewan Shears – Secretary to the Committee
6. **Matters arising** enclosure 2
To note
ARAC 46/23
Ewan Shears – Secretary to the Committee

Papers for discussion/decision

7. **Strategic Risk Register** enclosure 3
For discussion
ARAC 47/23
Anna Rafferty, Head of Assurance and Compliance
8. Papers from the HCPC's Internal Auditors, BDO LLP as follows;
 - I. **Internal Audit Report – HCPC Partners** enclosure 4
For discussion
ARAC 48/23
Bill Mitchell, BDO LLP
 - II. **Internal Audit Report – Regulatory Policy Development** enclosure 5
For discussion
ARAC 49/23
Bill Mitchell, BDO LLP
 - III. **Internal Audit Report – Payroll and IR35** enclosure 6
For discussion
ARAC 50/23
Bill Mitchell, BDO LLP
 - IV. **Internal Audit Progress Report 2023-24** enclosure 7
For discussion
ARAC 51/23
Bill Mitchell, BDO LLP
 - V. **Internal Audit Charter** enclosure 8
For discussion
ARAC 52/23
Bill Mitchell, BDO LLP

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| 9. | Annual report and Accounts 2022-23 update
For discussion
Alastair Bridges, Executive Director of Resources
Alan Keshtmand, Head of Finance
Claire Amor, Executive Director of Corporate Affairs | verbal |
| 10. | External Audit 2022-2023 update
For discussion
Haysmacintryre
NAO | verbal |
| 11. | National Audit Office Audit Completion Report on the 2022-23 Financial Statement audit – final report
For discussion
NAO | enclosure 9
ARAC 53/23 |
| 12. | Annual Review of Feedback and Complaints 2022-23
For discussion
Paul Robson, Service and Complaints Manager | enclosure 10
ARAC 54/23 |

To note

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| 13. | Internal audit recommendations tracker
Ewan Shears, Secretary to the Committee | enclosure 11
ARAC 55/23 |
| 14. | Committee forward planner
Ewan Shears, Secretary to the Committee | enclosure 12
ARAC 56/23 |
| 15. | Any other business
Previously notified and agreed by the Chair | verbal |
| 16. | Date & time of next meeting:
Wednesday 13 March 2024, 2pm | verbal |

Private agenda

17. **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
18	H
19	H
20	H
21	H, C
22	H, C

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| 18. | <p>Private minutes of the Audit and Risk Assurance Committee meeting of 20 September 2023
For approval
Ewan Shears – Secretary to the Committee</p> | <p>enclosure 13
ARAC 57/23</p> |
| 19. | <p>Private Matters arising
To note
Ewan Shears – Secretary to the Committee</p> | <p>enclosure 14
ARAC 58/23</p> |
| 20. | <p>Unified Assurance Report
<i>Including:</i></p> <ul style="list-style-type: none"> • Annual Serious Events Review <p>For discussion
Anna Raftery, Head of Assurance and Compliance
Roy Dunn, CIRSO</p> | <p>enclosure 15
ARAC 59/23</p> |
| 21. | <p>External Auditor performance review
For discussion
Alastair Bridges, Executive Director of Resources
Alan Keshtmand, Head of Finance</p> | <p>enclosure 16
ARAC 60/23</p> |
| 22. | <p>External Audit contract tender
For discussion
Alastair Bridges, Executive Director of Resources
Karen Flaherty, Head of Governance</p> | <p>enclosure 17
ARAC 61/23</p> |
| 23. | <p>Any other business
Previously notified and agreed by the Chair</p> | <p>verbal</p> |