

Audit and Risk Assurance Committee

The 80th meeting of the Audit and Risk Assurance Committee will take place as follows:

Date: Thursday 16 September 2021

Time: 1pm

Venue: Videoconference

Members: Sue Gallone (Chair)
Julie Parker
David Stirling
Kathryn Foreman
Pameleta Ricketts

Enquiries: Ewan Shears, Secretary to the Committee
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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 11 June 2021** enclosure 1
For approval
Ewan Shears – Secretary to the Committee ARAC 27/21
6. **Matters arising** enclosure 2
To note
Ewan Shears – Secretary to the Committee ARAC 28/21

Papers for discussion/decision

7. **Strategic Risk Register** enclosure 3
For discussion
Claire Amor, Head of Governance ARAC 29/21
8. **Operational Risk Register** enclosure 4
For discussion
Roy Dunn, Chief Information Security and Risk Officer ARAC 30/21
9. **Annual report and Accounts 2020-2021 update** verbal
For discussion
Gordon Dixon, Finance Consultant
9. **External Audit 2020-2021 update** verbal
For discussion
Haysmacintyre
NAO
10. Papers from the HCPC's Internal Auditors, BDO LLP as follows;
 - I. **Financial Modelling** enclosure 5
For discussion ARAC 31/21
 - II. **Risk Management** enclosure 6
For discussion ARAC 32/21

- III. Internal Audit Plan 2021-22 progress update**
To note enclosure 7
ARAC 33/21
11. **Internal Assurance Report**
For discussion enclosure 8
Claire Amor, Head of Governance ARAC 34/21
Anna Raftery, QA Lead
12. **Annual Service and Complaints report 2020-21**
For discussion enclosure 9
Paul Robson, Service and Complaints Manager ARAC 35/21
13. Review of Finance Policies as follows;
- I. Investment policy** enclosure 10
For discussion and recommendation ARAC 36/21
Gordon Dixon, Finance Consultant
- II. Procurement policy** enclosure 11
For discussion and recommendation ARAC 37/21
Antonio Pinheiro, Procurement Officer
Gordon Dixon, Finance Consultant
- To note
14. **Internal audit recommendations tracker** enclosure 12
Ewan Shears, Secretary to the Committee ARAC 38/21
15. **Committee forward work plan** enclosure 13
Ewan Shears, Secretary to the Committee ARAC 39/21
16. **Any other business** verbal
Previously notified and agreed by the Chair
17. **Date & time of next meeting:** verbal
Wednesday 10 November 2021. 1pm

Private agenda

18. **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	C

- 19. **Private minutes of the Audit Committee meeting of 11 June 2021.** enclosure 14
For approval ARAC 40/21
Ewan Shears – Secretary to the Committee
- 20 **Process for the retender of the Internal Audit contract** enclosure 15
For approval ARAC 41/21
Ewan Shears – Secretary to the Committee
- 21. **Any other business** verbal
Previously notified and agreed by the Chair