

Audit and Risk Assurance Committee

The 90th meeting of the Audit and Risk Assurance Committee will take place as follows:

Date: Wednesday 20 September 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 14 June 2023** enclosure 1
For approval
ARAC 29/23
Ewan Shears – Secretary to the Committee
6. **Matters arising** enclosure 2
To note
ARAC 30/23
Ewan Shears – Secretary to the Committee

Papers for discussion/decision

7. **Strategic Risk Register** enclosure 3
Including:
ARAC 31/23
 - SR5 Deep Dive – HCPC PartnersFor discussion
Anna Raftery, Head of Assurance and Compliance
Claire Amor, Executive Director of Governance, Assurance and Planning
Uta Pollmann, Partner Project Lead
8. **Operational Risk Register – annual review** enclosure 4
For discussion
ARAC 32/23
Roy Dunn, Chief Information Security and Risk Officer
9. **Risk Appetite review 2023** enclosure 5
For recommendation to Council
ARAC 33/23
Anna Raftery, Head of Assurance and Compliance
10. Papers from the HCPC's Internal Auditors, BDO LLP as follows;
 - I. **Internal Audit Report - Registration Assurance Processes and International Registrants** enclosure 6
For discussion
ARAC 34/23
Bill Mitchell, BDO LLP
 - II. **Internal Audit Report - Internal Audit Progress Report** enclosure 7
For discussion
ARAC 35/23

Bill Mitchell, BDO LLP

11. **Reserves policy review** enclosure 8
For discussion and recommendation ARAC 36/23
Alastair Bridges, Executive Director of Resources and Business Performance
Alan Keshtmand, Head of Finance

To note

12. **Internal audit recommendations tracker** enclosure 9
Ewan Shears, Secretary to the Committee ARAC 37/23
13. **Committee forward work plan** enclosure 10
Ewan Shears, Secretary to the Committee ARAC 38/23
14. **Any other business** verbal
Previously notified and agreed by the Chair
15. **Date & time of next meeting:** verbal
Wednesday 15 November 2023, 2pm

Private agenda

16. **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
17	H
18	H
19	H
20	H
21	H
22	H

17. **Private minutes of the Audit and Risk Assurance Committee meeting of 14 June 2023** enclosure 11
 For approval ARAC 39/23
 Ewan Shears – Secretary to the Committee
18. **Private Matters arising** enclosure 12
 To note ARAC 40/23
 Ewan Shears – Secretary to the Committee
19. **Draft Annual Report and Accounts 2022-23** enclosure 13
 For recommendation to Council ARAC 41/23
 Alan Keshtmand, Head of Finance
 Claire Amor, Head of Governance
20. **Haysmacintyre Audit Findings Report on the 2022-23 financial statements** enclosure 14
 For discussion ARAC 42/23
 haysmacintyre
21. **National Audit Office Audit Findings Report on the 2022-23 financial statements** enclosure 15
 For discussion ARAC 43/23
 National Audit Office
22. **Unified Assurance Report** enclosure 16
 For discussion ARAC 44/23
 Anna Raftery, Head of Assurance and Compliance
 Roy Dunn, CIRSO
23. **Any other business** verbal
 Previously notified and agreed by the Chair