

**Audit and Risk Assurance Committee**

**The 78th meeting of the Audit and Risk Assurance Committee will take place as follows:**

**Date:** Wednesday 10 March 2021

**Time:** 1pm

**Venue:** Videoconference

**Members:** Sue Gallone (Chair)  
Julie Parker  
David Stirling  
Helen Gough  
Pameleta Ricketts (Council Apprentice)

**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 November 2020** enclosure 1  
For approval  
Ewan Shears – Secretary to the Committee ARAC 01/21
6. **Matters arising** enclosure 2  
To note  
Ewan Shears – Secretary to the Committee ARAC 02/21

## Papers for discussion/decision

7. **Strategic Risk Register**  
*Including:*
  - *Strategic risk 1, Failure to deliver effective regulatory functions*For discussion enclosure 3  
Claire Amor, Head of Governance ARAC 03/21  
Andy Smith, Executive Director of Regulation  
Roy Dunn, Chief Information Security and Risk Officer
8. **External Audit 2020-2021 update** verbal  
For discussion  
Haysmacintyre  
NAO
9. Papers from the HCPC's Internal Auditors, BDO LLP as follows;
  - I. **Registration end to end process review** enclosure 4  
For discussion ARAC 04/21
  - II. **Intelligence gathering review** enclosure 5  
For discussion ARAC 05/21
  - III. **Internal Audit Plan 2020-21 progress update** enclosure 6  
To note ARAC 06/21
  - IV. **Internal Audit Plan 2021-22** enclosure 7  
For approval ARAC 07/21

10. **Internal Assurance Report** enclosure 8  
*Including:* ARAC 08/21
- *Assurance mapping – internal controls*
  - *Quality Assurance Charter*
- For discussion  
Claire Amor, Head of Governance  
Anna Raftery, QA Lead  
Roy Dunn, Chief Information Security and Risk Officer

To note

11. **Internal audit recommendations tracker** enclosure 9  
Ewan Shears, Secretary to the Committee ARAC 09/21
12. **Committee forward work plan** enclosure 10  
Ewan Shears, Secretary to the Committee ARAC 10/21
13. **Audit and Risk Assurance Committee Standing Orders** enclosure 11  
Claire Amor, Head of Governance ARAC 11/21
14. **Any other business** verbal  
Previously notified and agreed by the Chair
15. **Date & time of next meeting:** verbal  
Friday 11 June 2021, 1pm

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

- 17. **Private minutes of the Audit Committee meeting of 11 November 2020.** enclosure 12  
 For approval ARAC 12/21  
 Ewan Shears – Secretary to the Committee
- 18. **Any other business** verbal  
 Previously notified and agreed by the Chair