

Audit Committee 26 June 2008

Annual review of actions taken in 2007-8: Public meetings

Executive Summary and Recommendations

**Introduction**

An annual review of the actions arising from meetings in 2007-8 is attached.

**Decision**

The Committee is asked to note the actions that have been taken.

**Background information**

Please refer to individual papers and minutes for the background to decisions.

**Resource implications**

None.

**Financial implications**

None.

**Appendices**

List of actions arising from meetings in 2007-8.

**Date of paper**

2 May 2008.

## Action points

### Audit Committee – public meetings

2007-2008

	<b>Action point (and location in the minutes)</b>	<b>For the attention of</b>	<b>Action by</b>	<b>Comments</b>
1	Annual report and accounts 2006-7: Subject to changes agreed, Committee approved the report.  (26 June 2007, 6.4)	SL	6 July 2007	Actioned. Annual report received by Council on 6 July 2007. See also action points 9 and 20.
2	Baker Tilly audit findings: Committee approved draft audit findings and letter of representation.  (26 June 2007, 7.8)	SL	6 July 2007	Actioned. Letter of representation received by Council on 6 July 2007.
3	National Audit Office letter of representation: Committee approved the letter.  (26 June 2007, 8.4)	SL	6 July 2007	Actioned. Letter of representation received by Council on 6 July 2007.
4	Internal audit annual report: To be revised in accordance with changes indicated by Committee.  (26 June 2007, 12.4)	President/ PKF	25 September 2007	Actioned. See paper to note on agenda for 25 September 2007.
5	Process for reviewing the performance of the external auditor: Executive to complete the annual client care review questionnaire sent out by Baker Tilly. Completed questionnaire to be brought to Committee for discussion and decision on whether to recommend reappointment of the external auditor to Council.  (26 June 2007, 14.5)	Baker Tilly/ SL	25 September 2007	Actioned. See paper on private part of agenda for 25 September 2007.
6	Process for reviewing the performance of the internal auditor: Executive should complete PKF's client care questionnaire. Completed questionnaire would	PKF/ SL	25 September 2007	Actioned. See paper on private part of agenda for 25 September 2007.

Date  
2007-08-08

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Dept/Cmte  
ADT

Doc Type  
PPR

Title  
Executive summary action points  
public meetings 2007-8 Audit  
Committee 26 June 2008

Status  
Draft  
DD: None

Int. Aud.  
Public  
RD: None

	then be brought to Committee for discussion and decision on whether to recommend reappointment of the internal auditor to Council.  (26 June 2007, 15.3)			
7	Draft financial regulations: To be amended as discussed and brought back to future meeting.  (26 June 2007, 16.5)	SL	25 September 2007	Actioned. See paper on agenda for 25 September 2007 and action point 10.
8	Committee self-evaluation: Comments on process to be fed back to Council Awayday in October 2007. PKF to provide examples of self-evaluation forms used by other organisations.  (26 June 2007, 17.5)	CB/ PKF	25 September 2007	Actioned. The Secretary to Council was notified of the Committee's views (as set out in the minutes of the meeting held on 26 June 2007).  Examples of self-evaluation forms were received from PKF.
9	Annual report and accounts: Mr Sidhu should discuss issue about approval of a payment to a former employee with HM Treasury and, if necessary, facilitate a meeting.  (25 September 2007, 4.4)	Mr Sidhu	5 December 2007	Actioned. Meeting held on 31 October 2007, attended by representatives of HPC, the Department of Health, the National Audit Office and the Privy Council. Progress reports were provided to the Committee on 5 December 2007 and 27 February 2008.  The Department of Health's regulatory branch sought and received HM Treasury approval of the payment. The Comptroller and Auditor General then

				certified the accounts.  However, the Stationery Office then raised issues about the format and layout of the annual report and accounts which had not been raised in previous years.  See action point 20 below.
10	Draft financial regulations recommended to Council for approval.  (25 September 2007, 12.3)	SL	13 December 2007	Actioned. Approved by Council on 13 December 2007.
11	PKF internal audit of Finance: Project reporting to be included in the internal audit.  (25 September 2007, 8.3)	PKF	5 December 2007	Actioned. See further paper on agenda for 5 December 2007.
12	Terms of reference: Standing orders to be redrafted to take account of items identified in discussion at item 13 in the minutes. Redrafted version to be circulated electronically to members and discussed at next meeting, prior to consideration by the Council.  (25 September 2007, 14.3)	CB	5 December 2007	Actioned. See further paper on agenda for 5 December 2007 and action points 13 and 14.
13	Standing orders: Mr Kennett to provide wording for amendment to standing order 4(3)(b) to the Secretary to the Committee.  (5 December 2007, 11.3)	Mr Kennett/  CB	13 December 2007	Actioned. Wording received and incorporated into standing orders considered by Council on 13 December 2007. See action point 14.
14	Standing orders: Subject to proposed revision, Committee agreed proposed revisions.  (5 December 2007, 11.4)	NO'S	13 December 2007	Actioned. Revised standing orders approved by Council on 13 December 2007.

15	<p>Training for the committee: Agreed that training session should be held on 27 February 2008 and should focus on internal quality process used at HPC.</p> <p>(5 December 2007, 12.3)</p>	CB	27 February 2008	Actioned.
16	<p>External audit: The Committee approved the Baker Tilly audit plan for 2007-8 accounts.</p> <p>(27 February 2008, 7.5)</p>	Baker Tilly	Ongoing to 26 June 2008	Actioned. See paper on audit findings, included on the agenda for 26 June 2008.
17	<p>External audit: The Committee approved the National Audit Office audit strategy for 2007-8 accounts.</p> <p>(27 February 2008, 8.5)</p>	National Audit Office	Ongoing to 26 June 2008	Actioned. See paper on audit findings, included on the agenda for 26 June 2008.
18	<p>Internal audit: The Committee approved the internal audit plan for 2008-9, subject to PKF considering whether the planned allocation of days to approvals and monitoring and Continuing Professional Development was appropriate.</p> <p>(27 February 2008, 9.3 and 9.5)</p>	PKF	Ongoing to March 2009	<p>PKF is due to make progress reports at each meeting.</p> <p>Reports on each completed internal audit will be received at meetings during the year.</p>
19	<p>Risk register update: Risk register to be updated to reflect the risk of a mistake in the registration process leading to a potential liability for compensation to a registrant or applicant.</p> <p>(27 February 2008, 13.2)</p>	SL/ RH	26 June 2008	
20	<p>Annual report 2006-7: Chief Executive and Registrar should write a letter to the minister concerned, asking for action to be taken by the government to finally clarify HPC's status.</p> <p>(27 February 2008, 14.4)</p>	MJS	29 February 2008	The 2006-7 annual report and accounts were laid in Parliament on 31 March 2008 and have been published.