

Report to the Council from the Audit & Risk Committee (ARC) meeting of 19 June 2019

Purpose of paper	To report on the key items considered by the ARC meeting on 19 June 2019
Status	Public session
Action	For noting
Corporate Strategy 2016-19	<u>Objective 1</u> : To improve our performance across all our functions so that we are highly effective as a regulator.
Business Plan 2018	N/A
Decision Trail	In accordance with the General Dental Council Standing Orders for the Non-statutory Committees of Council, the ARC will report to the next Council meeting following its meeting.
Next stage	N/A.
Recommendations	The Council is asked to note the report of the ARC meeting on 19 June 2019
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Appendices	None

1. Executive summary

- 1.1. In accordance with the GDC's Standing Orders for the Non-statutory Committees of Council, ARC (the Committee) is required to report to the Council meeting following each meeting. This paper reports on the key items considered by the Committee at its meeting on 19 June 2019

Items discussed at the ARC meeting on 19 June 2019

2. Chief Executive's report

- 2.1. The Chief Executive and Registrar delivered an oral report which identified significant risks and opportunities for the organisation.
- 2.2. The primary focus for the organisation was the work on the Costed Corporate Plan (CCP) and Corporate Strategy which was currently out for consultation.
- 2.3. For EU exit, with the increasing possibility of a 'no deal', work was underway to identify and address issues over the summer period.

3. Risk Management Section

- 3.1. Strategic Risk Register (SRR)
- 3.2. The Head of Risk and Internal Audit presented the Strategic Risk Register for May 2019 which stated there were 11 active risks on the SRR. Since the previous update, no new strategic risks had been identified or recommended for dormancy.
- 3.3. Following a recent Council workshop in June there was an SLT workshop regarding the revised risk appetite matrix. The plan was to present the new appetite matrix to Council for consideration and approval in October. It was confirmed appetite level work had taken a few months due to the governance timetable, and it was important to note this level of change would not be required on a yearly basis.
- 3.4. The Committee were all in agreement that the risk appetite was in a state of transition and showed concern in approving the risk register when the current Council appetite levels used did not reflect the current stance.
- 3.5. Therefore, the Committee agreed to note the SRR in the context of the work on risk appetite that was underway. The Chair in the report to Council, agreed to include that it was important to raise where organisation was in terms of risk appetite, and the awareness of where it needs to get to.

4. Shifting the Balance- deep dive

- 4.1. The Committee received an introduction to the full risk background in relation to StB and presented the most recent StB programme pack. The Committee then received a presentation which outlined the programme board management, procurement process and the project plan.
- 4.2. The Committee noted the positive journey of the programme and thanked the team. However, for future deep dives, the Committee requested more substantive delve into the topic, in order to achieve a high level of scrutiny.

5. Internal audit update

- 5.1. Internal Audit Recommendation Tracker
- 5.2. The Committee received the internal audit recommendation tracker and were happy that the number of recommendations implemented had further increased.

- 5.3. Internal Audit Progress Report
- 5.4. Mazars presented the progress report and confirmed all areas were on track with no concerns. The Committee discussed the themes that had been identified within the last 12 months.
- 5.5. Internal Audit Reports
- 5.6. **GDPR**- received substantive assurance. The Committee thanked the team for the positive report. It was noted that GDC compared favourable to other organisations.
- 5.7. **Contract management**- the Committee received an advisory review in respect of contract management.
- 5.8. **Corporate Strategy**- the Committee received an additional review from Mazars to the agreed audit plan for 2019 in relation to a request from Council regarding the methodology for assigning costs in the Corporate Strategy. The report summarised the key findings and concluded a satisfactory assurance.
- 5.9. **BWB Specialist Audit**- the Committee received a specialist audit that was formally undertaken by Penningtons. The Committee were happy and acknowledged that the overall performance was an improvement from the previous audit.
- 6. GDC fee regulations**
- 6.1. The Committee received an update to advise the Committee of actions being taken to establish a recognised process for the development and delivery of amendments to fees regulations in the future. The Committee were happy and noted the update.
- 7. Annual Whistleblowing Report**
- 7.1. The Committee received an update that there had been one case of Whistleblowing that had been reported to the Senior Independent Member of Council.
- 8. Scheme of Delegation**
- 8.1. The Committee received and noted an oral update which confirmed work was underway with staff now in place. A full update would be available at the next quarter.
- 9. Items for noting**
- 9.1. The Committee **noted** the following items:
- Information Governance Q1
 - Update on the work of the Compliance team
 - Review of GDC Health, Safety and Wellbeing
 - GDC visitor access