Report to the Council from the Audit & Risk Committee (ARC) meeting of 22 March 2017

<table>
<thead>
<tr>
<th>Purpose of paper</th>
<th>To report on the key items considered by the ARC (Teleconference) meeting of 22 March 2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>Status</td>
<td>Public session</td>
</tr>
<tr>
<td>Action</td>
<td>For noting.</td>
</tr>
<tr>
<td>Corporate Strategy 2016-19</td>
<td>Objective 1: To improve our performance across all our functions so that we are highly effective as a regulator.</td>
</tr>
<tr>
<td>Business Plan 2017</td>
<td>2017 Priority one: Continue to build a cost effective and efficient organisation</td>
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<tr>
<td>Decision Trail</td>
<td>In accordance with the General Dental Council Standing Orders for the Non-statutory Committees of Council 2016, the ARC will report to the next Council meeting following its meeting.</td>
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<tr>
<td>Next stage</td>
<td>N/A.</td>
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<tr>
<td>Recommendations</td>
<td>• The Council is asked to note the report of the ARC meeting on 22 March 2017.</td>
</tr>
</tbody>
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| Appendices       | None.                                                                                           |

Executive summary
1. In accordance with the GDC’s Standing Orders for the Non-statutory Committees of Council 2016, 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 22 March 2017.

Items discussed at the ARC meeting on 22 March 2017

2. Chief Executive’s report
   The Chief Executive gave a verbal update, reporting that the ‘Shifting the balance’ consultation continued and would close on 31 March 2017.
   With Article 50 having been triggered, this would allow the organisation to start to look at the strategic and operational risks relating to ‘Brexit’.

3. Annual Report & Accounts
   The Committee reviewed the draft Annual Report & Accounts, including the Annual Governance Statement. Further amendments were noted and to be undertaken by the project team. An updated version would be circulated to the Committee by 1 May 2017 for the ARC meeting of 7 June and final sign off by Council on 22 June 2017.

4. Internal Audit
   The Committee received and reviewed the report of Mazars progress against the 2016 Internal Audit Plan, now completed, and an update on the 2017 Internal Audit Plan. Three Internal Audit reports had been undertaken in the period and one written in an advisory capacity.

5. Internal Audit Recommendation Tracker
   The Committee agreed to the proposal to implement a process to track the effective and timely implementation of agreed internal audit recommendations. A dashboard version of the tracker would be taken to Council on 22 June 2017.

6. Data Management
   The Committee received a report for Q4 and Annual 2016 Data Security Incidents (DSIs). There had been an increase in recorded incidents across the organisation which had expanded outside of FtP, although it was still unclear if this was due to increased awareness across the organisation. The Council have received a further paper on this matter and have a planned workshop session on information governance in June. The vacant role of SIRO would be filled by the permanent Executive Director, Organisational Development when in post. In the meantime, the Principal Legal Adviser had taken on the role of SIRO on an interim basis.

7. Strategic (SRR) & Operational (ORR) Risk Registers
   The Committee received the reports. 13 risks were on the SRR. The Committee also received the Registration Operational Risk Register and no concerns were noted.

8. Compliance
   The Committee discussed the organisational requirements for the compliance function. This included second line monitoring of the Case Examiner model.

9. Quality Assurance Group Report (FtP)
   The Committee received the report and agreed that as the Statutory Panel Assurance Committee (SPC) reviewed the report extensively, there was no longer the requirement to bring the report to future ARC meetings unless there were matters of concern.

10. PSA Report – Oversight of Investigating Committee Feedback
    The Committee received the first report to review Case Examiner feedback. There were no concerns regarding the independence and accuracy of the decision-making process.
11. PSA Report – Analysis of Sampling of IC Decisions

The Committee received the report, which documented the completion of one outstanding task on the action plan following the PSA report of the concerns raised by a whistleblower on 26 September 2013. This involved evaluating whether further sampling of investigating Committee Decisions was required and, if so, conducting the exercise in an appropriate manner.

An independent expert and qualified solicitor, Barry Baines, conducted the evaluation and confirmed that each of the committee decisions he reviewed were properly and correctly reflected in the final decision documents.

12. Whistleblowing

The Committee received the Close Out Reports and Annual Report. There had been three whistleblowing incidents since April 2016.

13. Procurement – Exception Report

No single tender action requests valued in excess of £50,000 were submitted for approval during the reported period.