

Audit and Risk Committee Work Programme 2019								
	1 Preliminary Items	EMT	Author	21-Feb	16-April ARA	19-Jun	19-Sep	27-Nov
	2.1 Risk							
ToR	Strategic Risk Register	Gurvinder Soomal, Executive Director, Registration and Corporate Resources	Sam Clements	Discuss + Recommend	Discuss + Recommend	Discuss + Recommend	Discuss + Recommend	Discuss + Recommend
ToR	Risk Management Framework	Gurvinder Soomal,	Sam Clements					Discuss
N/A	Risk Management Software	Gurvinder Soomal	Sam Clements	Discuss				
	2.2 Internal Audit							
ToR	Annual Internal Audit Report	Gurvinder Soomal,	Mazars	Discuss				
ToR	Mazars Internal Audit Progress Report	Gurvinder Soomal,	Mazars	Note		Note	Note	Note
ToR	Internal Audit Recommendation Tracker	Gurvinder Soomal,	Sam Clements	Note	note	Note	Note	Note
ToR	Individual Internal Audit Reports (relevant Exec to attend)	Gurvinder Soomal,	Mazars	Discuss		Discuss	Discuss	Discuss
ToR	Internal Audit Strategy and Plan for 2020	Gurvinder Soomal,	Mazars					Approve
	2.3 Specialist Audit							
N/A	Penningtons	Tom Scott	Sam Clements	Discuss				
	2.4 External Audit - haysmacintyre	Director	Author	21-Feb	16-April ARA	19-Jun	19-Sep	27-Nov
Statutory	External Audit - Effectiveness Evaluation	Gurvinder Soomal	haysmacintyre			Discuss + recommend		
Statutory	External Audit Plan for 2019 Accounts	Gurvinder Soomal	haysmacintyre					Approve
Statutory	External Audit Annual Fee	Gurvinder Soomal	haysmacintyre			Approve		
	2.4 Compliance	Director	Author	21-Feb	16-April ARA	19-Jun	19-Sep	27-Nov
ToR	Compliance Progress Report	Bobby Davis, Executive Director, Organisational Development	David Platt	Note		Note	Note	Note
ToR	Compliance Annual Plan	Bobby Davis	David Platt					Approve
	3 Annual Report and Accounts	Director	Author	21-Feb	16-April ARA	19-Jun	19-Sep	27-Nov
Statutory	Final Annual Report and Accounts (including Annual Governance Statement)	Matthew Hill, Executive Director, Strategy	Angeline Burton	Draft Gov Statement	Discuss + Recommend			
Statutory	Haysmacintyre Audit Findings Report Audit Report Draft Letter of Representation	Gurvinder Soomal,	haysmacintyre		Discuss + Recommend			
Statutory	NAO Audit Completion Report 2018 Draft Letter of Representation NAO Draft Audit Certificate 2018	Gurvinder Soomal,	National Audit Office		Discuss + Recommend			
Statutory	ARC members, Internal and External Auditors (private meeting) re audit findings ARA 2019 Timetable	Matthew Hill	Angeline Burton		Discuss		Draft timetable discuss	Approve
	4 Fitness to Practice	EMT	Author	21-Feb	16-April ARA	19-Jun	19-Sep	27-Nov
N/A	PSA Report - Oversight of Investigating Committee feedback (by exception)	Tom Scott	John Cullinane	By Exception Note	n/a	By Exception Note	By Exception Note	By Exception Note
N/A	Case Examiners - Quarterly Report on compliance and feedback	Tom Scott	John Cullinane		n/a			
	5 Other Reporting	EMT	Author	21-Feb	16-April ARA	19-Jun	19-Sep	27-Nov
N/A	GDC insurance review	Gurvinder Soomal	Gurvinder Soomal	note as required				
N/A	Information Governance - DSI, FOI and DPA	Bobby Davis	Luke Whiting	Discuss	n/a	Discuss	Discuss	Discuss
ToR	Whistleblowing - Annual Report (internal)	Bobby Davis	Kim Chudley	Discuss + Recommend				
ToR	Whistleblowing - Council, Associates, GDC Employees - Updates (each meeting) and close out reports	Bobby Davis	Kim Chudley	Note as required	Note as required	Note as required	Note as required	Note as required
ToR	Statutory Reporting on Mandatory Disclosures - GDC's role as a Prescribed Person (external)	Bobby Davis	Rachel Knight				Approve	
ToR	Scheme of delegation	Bobby Davis	Rachel Knight	Discuss & Recommend (from 2018)				Discuss + recommend
ToR	Health and Safety Annual Report	Bobby Davis	Stephen Lillywhite	Note as required	Discuss			
N/A	Business Continuity and Disaster Recovery (by exception)	Gurvinder Soomal & Bobby Davis	Keith Geraghty	Note as required	n/a	Note as required	Note as required	Note as required
	6 Policies	Director	Author	21-Feb	16-April ARA	19-Jun	19-Sep	27-Nov
ToR	Fees- the processes for making fees regulation	Matthew Hill	Rebecca Cooper			Discuss		
ToR	Anti Fraud and Anti Bribery (review due 2019)	Gurvinder Soomal,	Samantha Bache				Discuss + Recommend	
ToR	Whistleblowing	Bobby Davis	Kim Chudley/Rachel Knight				Discuss + Recommend	
	7 Governance	Director	Author	21-Feb	16-April ARA	19-Jun	19-Sep	27-Nov
Standing Orders	Terms of reference	Gurvinder Soomal, & Bobby Davis.	Rachel Knight					Discuss + Recommend
ToR and Standing Orders	Evaluation of Committee effectiveness	Gurvinder Soomal, & Bobby Davis.	Rachel Knight			Discuss		
Standing Orders	Work programme 2020	Gurvinder Soomal, & Bobby Davis.	Polly Button					Approve
Standing Orders	Annual Report to the Council	Gurvinder Soomal, & Bobby Davis.	Polly Button					Approve