

Report to the Council from the Audit & Risk Committee (ARC) meeting of 16 April 2018

Purpose of paper	To report on the key items considered by the ARC meeting of 16 April 2018
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 2018 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 16 April 2018
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Appendices	None

Executive summary

1. In accordance with the GDC's Standing Orders for the Non-statutory Committees of Council 2018, 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 16 April 2018.

Items discussed at the ARC meeting on 16 April 2018

2. Chief Executive's report

The Chief Executive gave an overview of the current status of the Estates Strategy. The property search and shortlisting had progressed well. Work was on-going regarding the development of an arms-length adjudication process, similar to the tribunal service established by the HCPC.

3. Annual Report and Accounts (ARA)

Matthew Hill, the Lead Director for the Annual Report project, introduced the report. The Committee discussed the key financial assumptions, current material issues relating to the 2017 Annual Report and Accounts and the final draft Annual Governance Statement. The Committee approved the final draft Governance statement.

4. haysmacintyre- Audit Findings Report (AFR) and draft Letter of Representation

haysmacintyre presented the AFR and draft letter of Representation and stated that the audit went well. GDC staff were thanked for their hard work throughout the process.

haysmacintyre noted two minor control points and were content with the robustness of the financial control structure. The AFR and draft letter of Representation were recommended to Council.

5. The Executive Directors Letter of Representation

The Head of Governance confirmed that the letter had been drafted but not tabled at the meeting due to some late amendments which required further discussion. However, the content been agreed. The Chair subsequently reviewed the letter and it was signed by the Executive Directors shortly after the meeting.

6. National Audit Office (NAO)- Audit Completion Report, draft Letter of Representation, Draft Audit Certificate

The NAO presented their audit completion report and provided an overview of their role and reliance on haysmacintyre's audit work. The GDC staff were congratulated for their efforts and no major errors had been identified in the accounts. Only a small number of minor amendments remained outstanding and the NAO were happy to take these forward for the subsequent version.

The Committee agreed that all comments would be incorporated and the final version of the 2017 ARA would be submitted to the Chair and subsequently recommended to Council for final approval. The Audit Completion Report, draft Audit Certificate and draft Letter of Representation were recommended to Council.

The Chair on behalf of the Committee, thanked the staff and external advisors for smooth running of the audit process.

7. Risk

Strategic Risk Register (SRR):

The Head of Risk and Internal Audit presented the Strategic Risk Register for March 2018

No further strategic risks or risks for dormancy had been identified since last month's update. All of the risks had now been updated to align with the appropriate Business Plan Priority 2018.

The Committee discussed GDC's compliance with GDPR which was noted as on track. A session for Council members on GDPR had been scheduled for May. The Committee approved the SRR, and following a Council workshop, an update on risk horizon scanning would be reported on as part of the next SRR update.

Estates Risk Strand 1 Update

The committee discussed and noted the strategic risks related to Estates. It was agreed for future meetings the Executive Directors would choose and prepare a topic for a narrative on risk assurance.

8. Quality Assurance and Sampling Size in Fitness to Practise.

The Executive Director, Fitness to Practise outlined proposals relating to QA sampling size to allow a more consistent, proportionate and effective quality assurance process in the FtP Directorate. The Committee approved the proposals set out in the report.

9. Health and Safety- 2017 Annual Report

Significant items raised related to a power outage and an incident on Oxford Street, where the public tried to gain entrance to Wimpole Street building. The Committee noted the report and were assured that both issues were dealt with appropriately with guidance now actively in place.