

**RCGP AUDIT AND RISK COMMITTEE  
VACANCY FOR COLLEGE MEMBER (X2 VACANCIES)  
26 JUNE 2024**

**APPLICATION PACK**

Dear Member or Fellow

Thank you for your interest in the College Member vacancy on the Audit and Risk Committee.

The Audit and Risk Committee is one of five committees of Trustee Board - the others being Governance Committee, Planning and Resources Committee, Remuneration Committee, and Nominations Committee.

The committee is chaired by someone who is not a member of either Trustee Board or Council and is currently Professor Maureen Baker. There are two Trustees, one a Council Trustee and one Lay Trustee, and two Independent Members who has background/expertise in the remit of the committee. There are also two College Members on the committee.

Named individuals are available on the college website:  
<https://www.rcgp.org.uk/about/trustee-board>

One of the vacancies will commence on 1 October 2024 and the other will commence on 1 January 2025 but will be invited to the remaining 2024 meeting (December 2024) as an observer.

The responsibilities of the committee are contained in the Terms of Reference.

Please find attached:

- The Terms of Reference for the committee; and
- The Role Description for the role

## Time Commitment

The committee meets four times per year - usually in March, July, September and December - for approximately two hours; with the possibility of additional meetings or decisions via email if there is a business need. Meetings are ordinarily held virtually but there is an occasional 'in person' meeting at 30 Euston Square. There is reading preparation time. There may be occasional email correspondence.

## Application Process

The deadline for applications is 12 noon on Wednesday 31 July 2024.

Applicants should send the following to John Anderson, Governance Manager (Trustees and Risk) at [John.Anderson@rcgp.org.uk](mailto:John.Anderson@rcgp.org.uk)

- CV
- Covering letter/statement
- Completed Declaration of Probity Form
- Completed Declaration of Interest Form (if not already submitted one in another role - please check to confirm).

## More Information / Enquiries

For more information or enquiries, please contact John Anderson, Governance Manager (Trustees and Risk) at [John.Anderson@rcgp.org.uk](mailto:John.Anderson@rcgp.org.uk)

## AUDIT AND RISK COMMITTEE – COLLEGE MEMBER

### Role Description and Person Specification

<b>Accountable to</b>	Trustee Board
<b>Terms of Office</b>	3 years initially. Eligible to apply for one further 3-year term, following conclusion of the original term of office.
<b>Remuneration and Expenses</b>	Although not remunerated, all expenses incurred (travel, subsistence, hotel accommodation, taxis etc) are reimbursed, up to the College’s expenses limits and policy.
<b>Appointment Criteria</b>	By assessment & interview through the Appointment Panel, following open advertisement.
<b>Time commitment</b>	The Audit and Risk Committee will meet approx. 4 times per year, either virtually or face-to-face meeting. Additional work via email will also be required.

<b>COMMITTEE PURPOSE</b>
<p>To take delegated responsibility on behalf of Trustee Board for ensuring that there is a framework for accountability, for examining and reviewing all systems and methods of control, both financial and otherwise, including risk analysis and risk management.</p> <p>To ensure the College is complying with all aspects of the law (including compliance with data protection and equality legislation) relevant accounting and other regulations, and good practice.</p>

<b>ROLE PURPOSE</b>
To be a full, active member of the Audit and Risk Committee, providing a view from a member perspective and a knowledge of College governance and operational processes.

<b>MAIN RESPONSIBILITIES</b>	
A	Attend and participate as an active member in meetings of the Audit and Risk Committee (four, two hour meetings per annum) and attend other meetings as required.
B	Undertake preparatory reading for meetings.
C	To attend the Annual General Meeting and any other general meetings.
D	To implement those tasks within the College’s Strategic Plan and the Committee’s Terms of Reference which have been delegated to the Committee to undertake.
E	To offer advice to the Committee, Trustee Board and Council as necessary
F	To take a pro-active interest in the work of the College.
G	To help encourage a culture within the College whereby individuals feel able to take concerns or worries to an appropriate member of the management team or, in exceptional circumstances, directly to the Chair of the Audit and Risk Committee.
H	To be involved in the selection of the College’s external auditors.

PERSON SPECIFICATION	
	Essential
Eligibility requirements	<ul style="list-style-type: none"> <li>A Member or Fellow of the College, who is not currently a member of Trustee Board or a UK Officer.</li> </ul>
College Experience / Leadership  <i>Demonstrate college experience and leadership skills appropriate for role level</i>	<ul style="list-style-type: none"> <li>Meets <b>one</b> of the below criteria:               <ul style="list-style-type: none"> <li>(a) Current or recent (last four years) Member of UK Council or a Devolved Nation Council;</li> <li>(b) Current or recent (last four years) Member of a Trustee Board Committee;</li> <li>(c) Current or recent (last four years) Faculty Board member; or</li> <li>(d) Able to demonstrate audit or risk experience in another organisation.</li> </ul> </li> </ul>
Personal and Professional qualities	<ul style="list-style-type: none"> <li>Be a committed and strong team-player, with proven examples of personal achievement.</li> <li>Be able to demonstrate independent judgement.</li> <li>Working collaboratively with professional staff</li> <li>Be able to demonstrate an ongoing commitment to work on Equality Diversity &amp; Inclusion</li> </ul>
Role specific knowledge and expertise  <i>Demonstrate knowledge and experience in areas covered by the role</i>	<ul style="list-style-type: none"> <li>Have a base knowledge of financial and internal audit, enterprise risk management and compliance at a level required to undertake the role of a committee member.</li> <li>Be committed to undertake internal and external training and development as appropriate.</li> <li>Ability and willingness to make independent and impartial judgements.</li> </ul>
Clinical position  <i>Demonstrate current active in general practice</i>	<ul style="list-style-type: none"> <li>In good standing with their employer, the RCGP and GMC</li> <li>Have no current or significant past upheld convictions or complaints for fraud or probity in courts or GMC</li> <li>Practicing in general practice (clinically or non-clinically) either currently or within last two years</li> </ul>

(C) **Audit and Risk Committee** (updated April 2022)

Accountable to:	Trustee Board
Chair	<p>The Chair of the Audit and Risk Committee may be nominated from amongst the Audit and Risk Committee existing membership or may be an additional member. He/ she will be nominated and recommended by the Trustee Board on the basis of personal expertise, will be approved by Council, and whilst will normally be a RCGP member, may come from any suitable source.</p> <p>Existing College Officers and the Chair of Trustees are ineligible for appointment as Chair of the Audit and Risk Committee.</p>
Membership and Appointment	<p>The Audit and Risk Committee will consist of no fewer than 5 Members appointed by Trustee Board of whom:</p> <p>At least one Independent Member, external and independent of the College</p> <p>One lay trustee (to be appointed by the Trustee Board);</p> <p>One Council trustee (to be appointed by the Trustee Board);</p> <p>Up to two College members who are appointed by the Trustee Board</p> <p>If possible, one of the two College members so appointed will be drawn from current or recent Faculty or Devolved Council Honorary Treasurers.</p>
Quorum	Three members of the Committee, including the Chair
Sub-Committees	None
Terms of membership:	The term of each appointment shall be 3 years; renewable for a further term, with the maximum term of appointment 6 years.
Attendance:	<p>The Honorary Treasurer shall be invited to meetings of the Audit Committee.</p> <p>The Chief Executive Officer, the Executive Director of Planning &amp; Resources, Head of Finance and such other</p>

	<p>members of staff, as the Chair may require, shall be in attendance at meetings.</p> <p>The external auditors and the internal auditors by invitation only.</p> <p>Such other persons as the Chair may require</p>
Overall Purpose:	<p>To take delegated responsibility on behalf of Trustee Board for ensuring that there is a framework for accountability, for examining and reviewing all systems and methods of control, both financial and otherwise, including risk analysis and risk management.</p> <p>To ensure the College is complying with all aspects of the law (including compliance with data protection and equality legislation) relevant accounting and other regulations, and good practice.</p>
Authorisation:	The Committee is authorised, in consultation with the Honorary Treasurer, to obtain appropriate external legal and other professional advice in order to fulfil its duties to the Governance and Nominations Committee

**Has delegated authority from the Trustee Board**

1.	To ensure there are appropriate frameworks for accountability including internal controls and risk management.
2.	To ensure the College and trading subsidiaries are complying with financial accounting standards and other regulations and Acts as delegated by the Trustee Board.
3.	To investigate any matters that threaten or adversely affect the College's aims and objectives, its assets, the reliability of its records or information, its compliance with all laws, workplace regulations and policies and its governing instruments.
4.	To ensure appropriate and timely training is provided both in the form of induction training for new Audit Committee members and an ongoing basis for all Audit Committee members.
5.	To approve the scope and objectives of the work of the internal and external auditors.
6.	To ensure effective co-ordination between internal and external audit.
7.	To approve the internal audit reports and internal audit annual reports; the management letters of the external auditors and management's response to these.
8.	To monitor, within an agreed timescale, the implementation of agree recommendations relating to internal audit assignment reports, internal audit annual reports and the external auditor's management letters.

9.	To establish, in conjunction with management, relevant annual performance measures and indicators and to monitor the effectiveness of the internal and external auditors through these measures and indicators and decide, based upon this review, whether a competition for price and quality of the audit service is appropriate.
10.	To decide on the appointment, reappointment, dismissal and remuneration of the internal auditors
<b>Is required to provide initial scrutiny and review prior to final approval by the Trustee Board</b>	
11.	Monitor and review the integrity of the College's Annual Accounts and financial statements ensuring that the appropriate accounting standards have been adhered to and applied.
12.	Review of the effectiveness of the College's internal controls and risk management systems, and to give assurance to Trustee Board that they are operating as intended.
13.	Agree the statements to be included in the Annual Accounts concerning internal controls and risk management.
14.	To recommend the appointment of the external auditors.
<b>Ongoing Audit and Risk Committee workplan</b>	
15.	Review Audit Committee performance and terms of reference annually to ensure it is operating at maximum effectiveness and make such changes as necessary.
16.	To produce an annual report which includes the Audit Committee's advice on the effectiveness of the College's risk management, control and governance processes, and any significant matters arising from the work of internal and external audit.
17.	To receive regular reports from the Health & Safety Committee and Assurity Consulting.
18.	To conduct periodic 'deep dives' into areas of work within the College.
19.	To liaise with, and coordinate activities with, other committees of Trustee Board, where other committees maintain oversight of risk/control in their areas of responsibility.
20.	To maintain communications outside of formal meetings with others involved in aspects of governance including key executives, auditors, and Chair of Trustee Board.