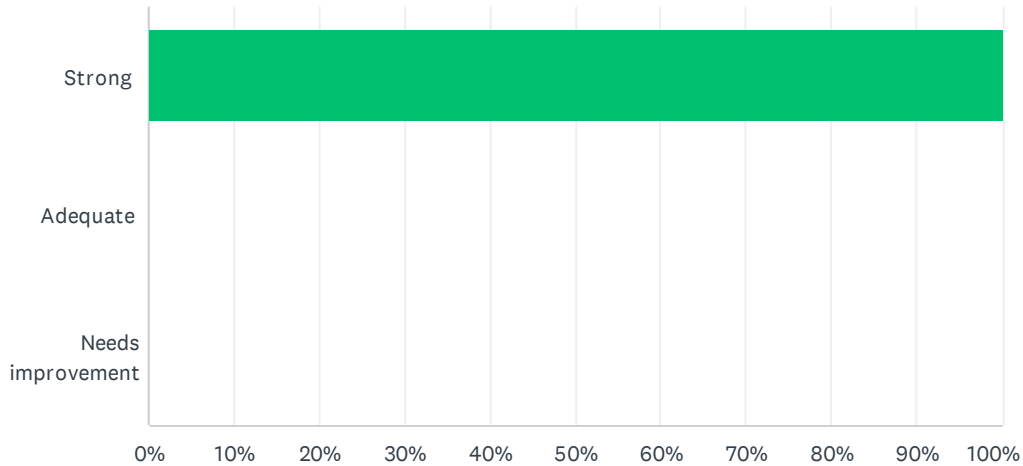


Q1 The Audit & Assurance Committee terms of reference clearly, adequately & realistically set out the Committee’s role and nature and scope of its responsibilities in accordance with Welsh Government guidance and have been approved by the committee and the full Board. NHS Handbook status: 1 - must do

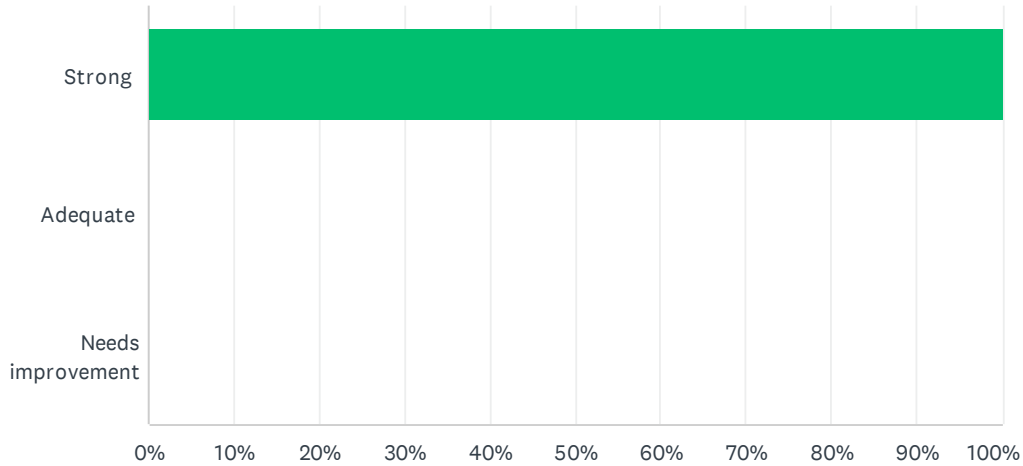
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Strong	100.00%	7
Adequate	0.00%	0
Needs improvement	0.00%	0
TOTAL		7

Q2 The Board was active in its consideration of Audit & Assurance Committee composition, including the designation or consideration of an “audit committee financial expert.” (At least one committee member should have a financial background) NHS Handbook status: 2 - should do

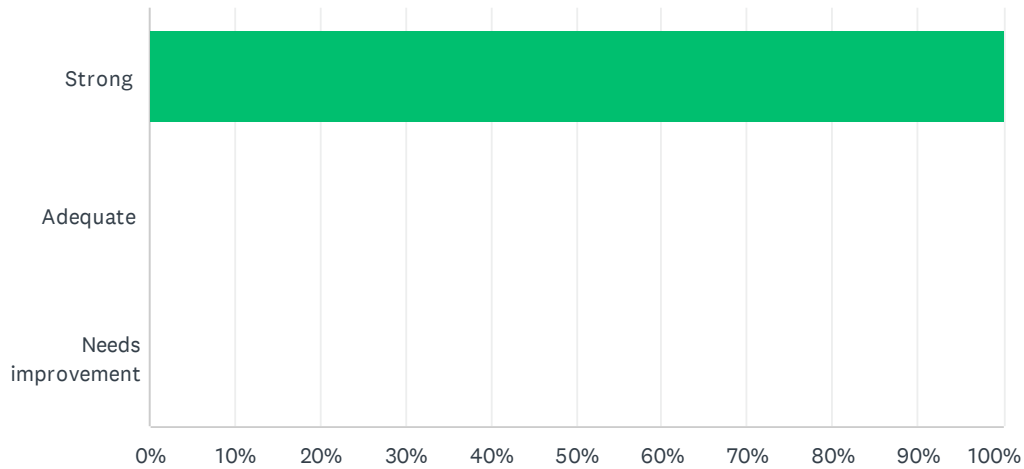
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Strong	100.00%	7
Adequate	0.00%	0
Needs improvement	0.00%	0
TOTAL		7

Q3 The Audit & Assurance Committee’s actions reflect independence from management, ethical behaviour and the best interests of the Health Board and its stakeholders.

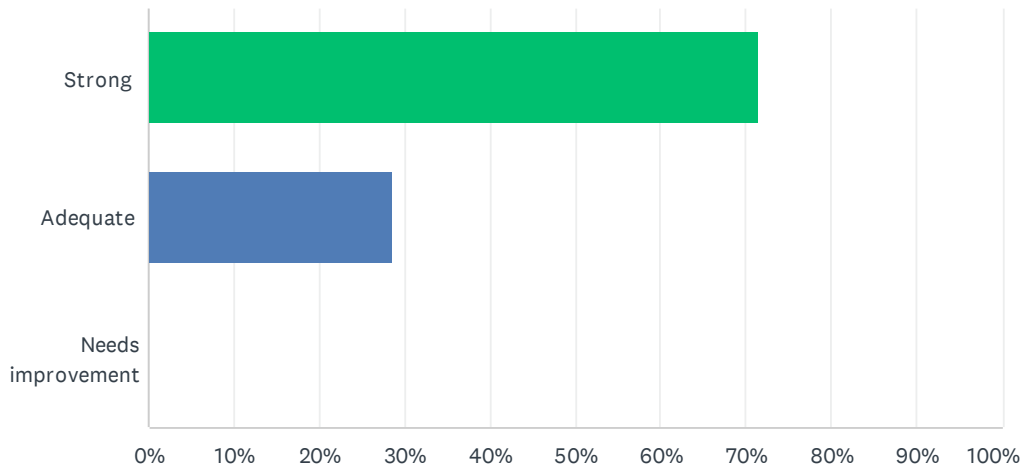
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Strong	100.00%	7
Adequate	0.00%	0
Needs improvement	0.00%	0
TOTAL		7

Q4 The Audit & Assurance Committee's meeting packages are complete, are received with enough lead time for members to give them due consideration and include the right information to allow meaningful discussion. Minutes are received as soon as possible after meetings.NHS Handbook status: 2 - should do

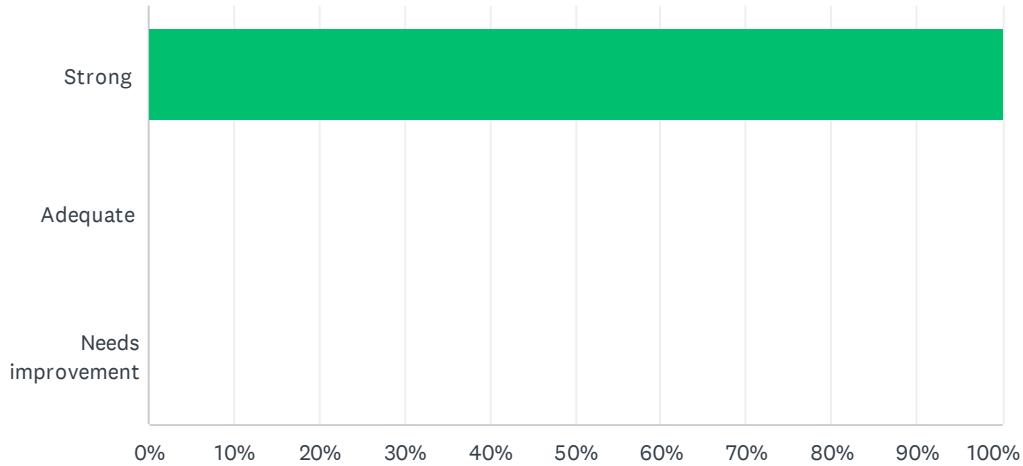
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ANSWER CHOICES	RESPONSES	
Strong	71.43%	5
Adequate	28.57%	2
Needs improvement	0.00%	0
TOTAL		7

Q5 Audit & Assurance Committee meetings are well organised, efficient, and effective, and they occur often enough and are of appropriate length to allow discussion of relevant issues consistent with the Audit & Assurance Committee’s responsibilities.NHS Handbook status: 2 - should do

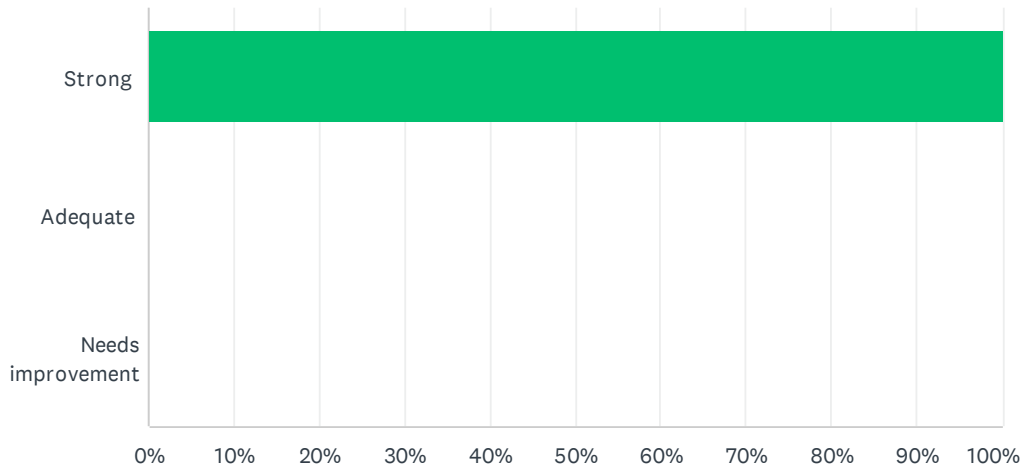
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ANSWER CHOICES	RESPONSES	
Strong	100.00%	7
Adequate	0.00%	0
Needs improvement	0.00%	0
TOTAL		7

Q6 Appropriate internal or external support and resources are available to the Audit & Assurance Committee and it has sufficient membership and authority to perform its role effectively. NHS Handbook status: 1 - must do

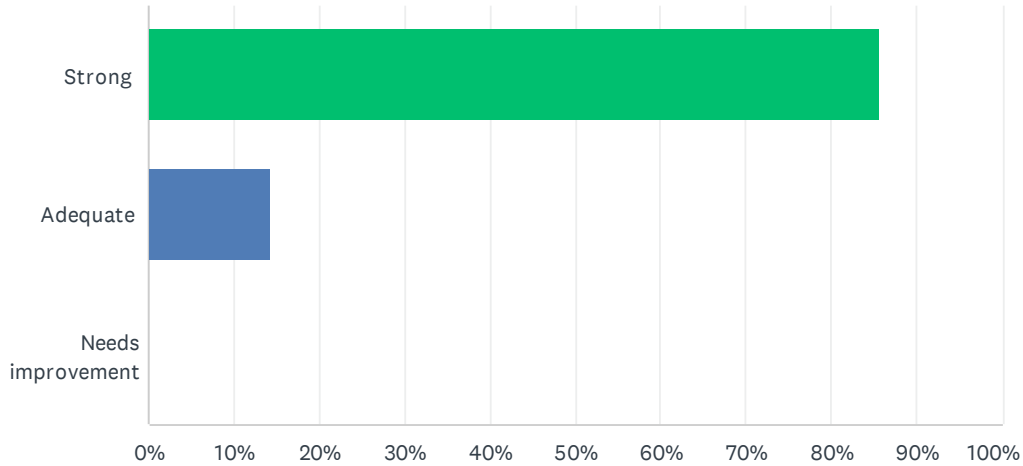
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ANSWER CHOICES	RESPONSES	
Strong	100.00%	7
Adequate	0.00%	0
Needs improvement	0.00%	0
TOTAL		7

Q7 The Committee informs the Board on its significant activities, actions, recommendations and on its performance through minutes and regular reports and has appropriate relationships with other committees.NHS Handbook status: 2 - should do

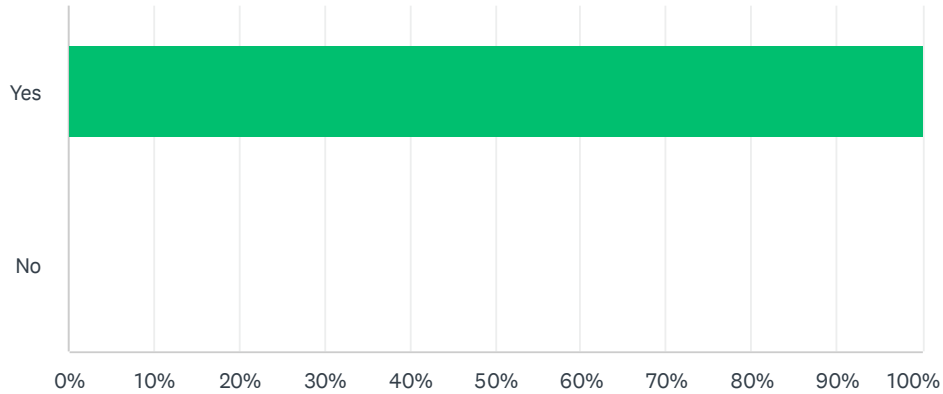
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Strong	85.71%	6
Adequate	14.29%	1
Needs improvement	0.00%	0
TOTAL		7

Q8 Are the terms of reference reviewed annually to take into account governance developments (including integrated governance principles) and the remit of other committees within the organisation? NHS Handbook status: 2 - should do

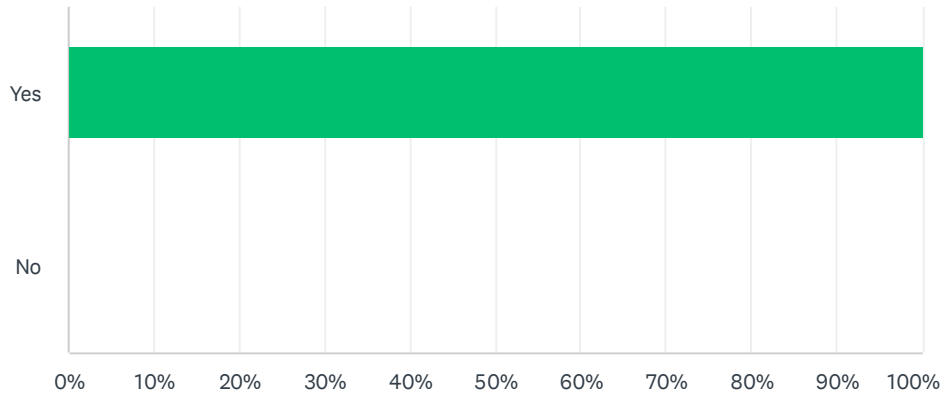
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ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q9 Are changes to the committee’s current and future workload discussed and approved at Board level? NHS Handbook status: 2 - should do

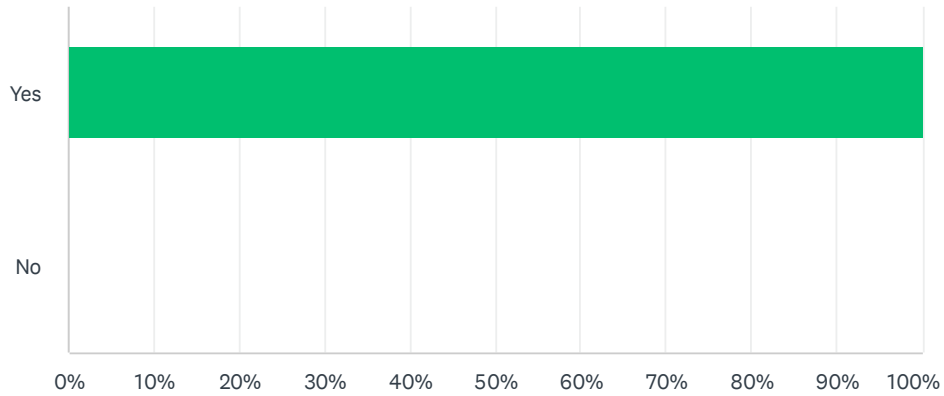
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q10 Are committee members independent of the management team? NHS Handbook status: 1 - must do

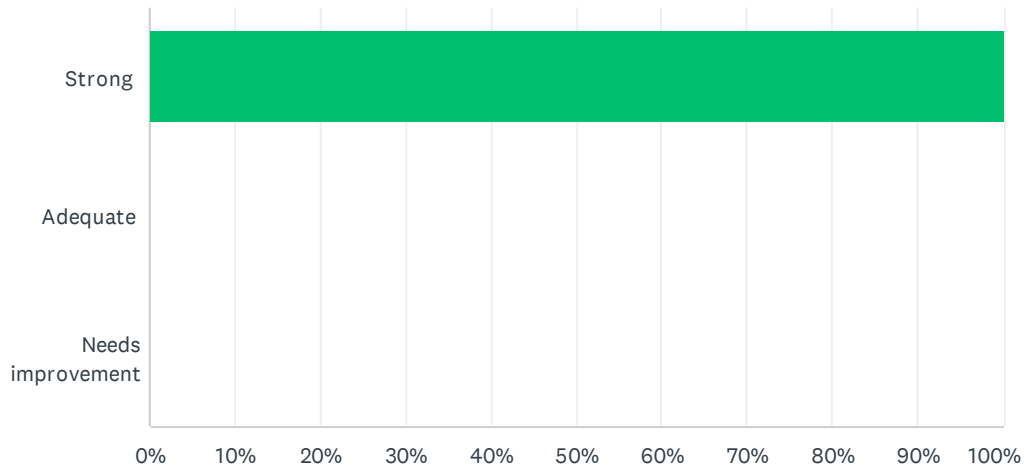
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q11 There is appropriate consideration of the UHB’s financial reporting risks and the related internal controls, which are reflected in the Audit Committee’s discussions and agenda items.

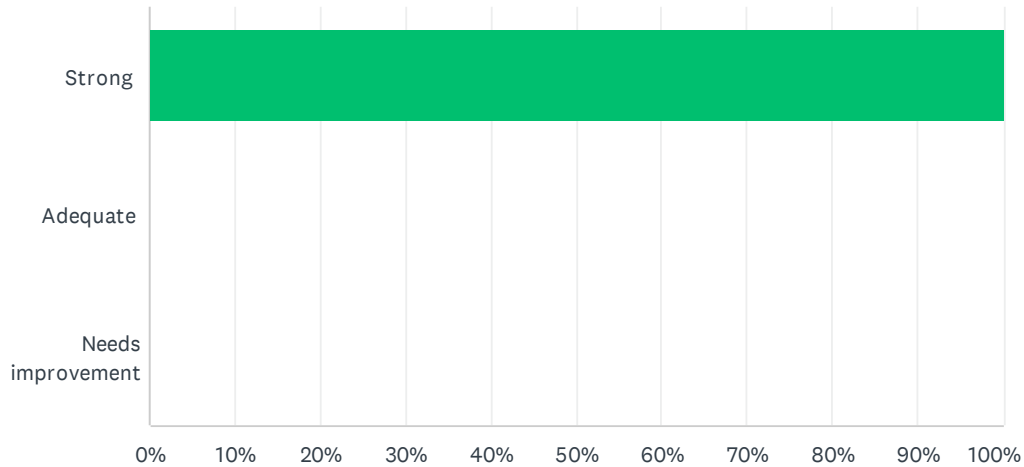
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Strong	100.00%	7
Adequate	0.00%	0
Needs improvement	0.00%	0
TOTAL		7

Q12 The Audit & Assurance Committee’s agenda-setting process is thorough and led by the audit committee chair.

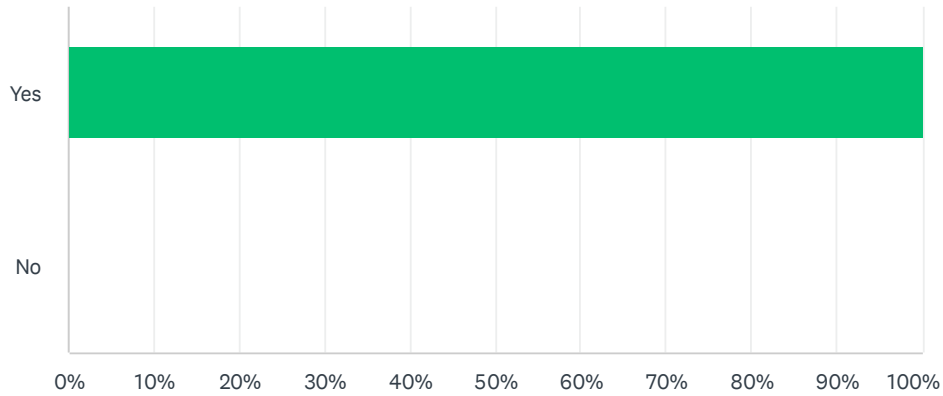
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ANSWER CHOICES	RESPONSES	
Strong	100.00%	7
Adequate	0.00%	0
Needs improvement	0.00%	0
TOTAL		7

Q13 Is the Committee’s role in the approval of the Annual Accounts clearly defined? NHS Handbook status: 1 - must do

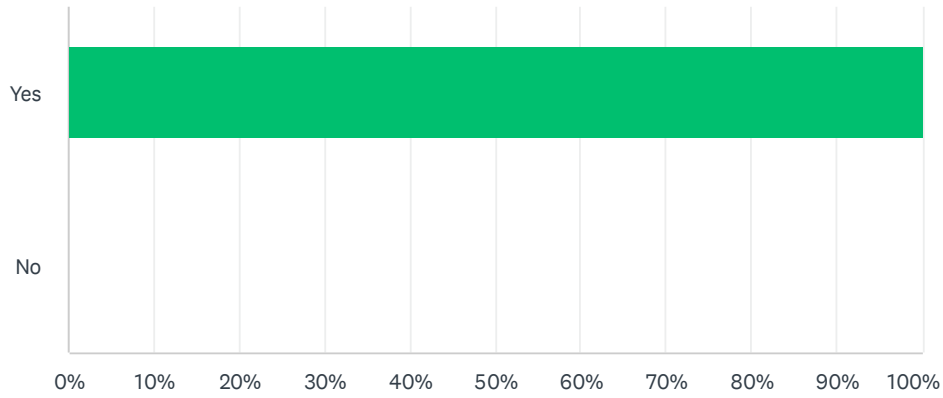
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ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q14 Has the Committee established a plan for the conduct of its work across the year? NHS Handbook status: 2 - should do

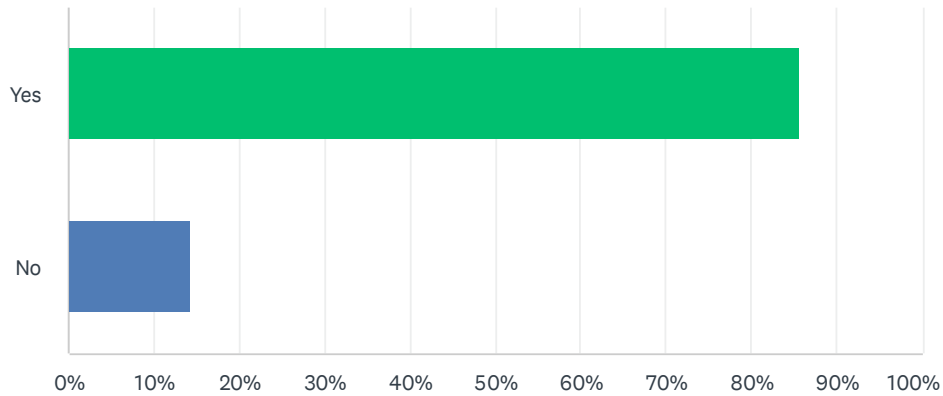
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q15 Is a Committee meeting scheduled to discuss proposed adjustments to the Accounts and issues arising from the audit, and does the Committee annually review the accounting policies of the organisation? NHS Handbook status: 2 - should do

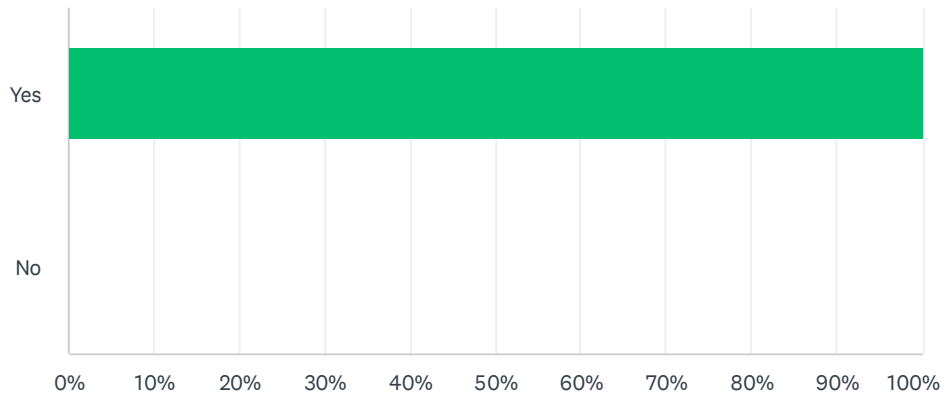
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ANSWER CHOICES	RESPONSES	
Yes	85.71%	6
No	14.29%	1
TOTAL		7

Q16 Has the committee formally considered how it integrates with other committees that are reviewing risk e.g. risk management and clinical governance? NHS Handbook status: 2 - should do

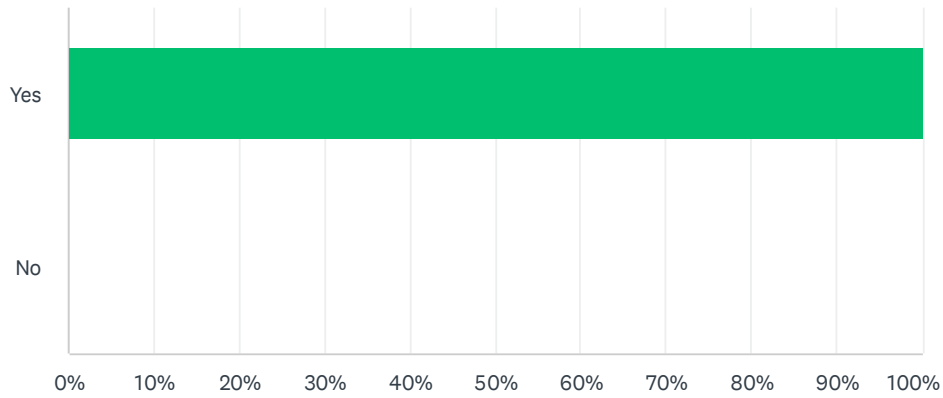
Answered: 6 Skipped: 1



ANSWER CHOICES	RESPONSES	
Yes	100.00%	6
No	0.00%	0
TOTAL		6

Q17 Has the committee formally considered how its work integrates with wider performance management and standards compliance?NHS Handbook status: 2 - should do

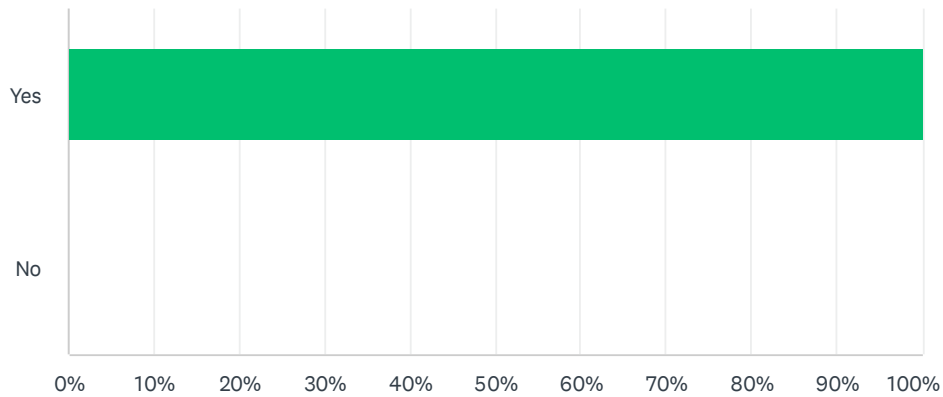
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q18 Has the committee been briefed on its assurance responsibilities with regard to internal control and risk management, particularly with regard to the Statement of Internal Control, the Assurance Framework, Standards for better Health and the Head of Internal Audit’s opinion?NHS Handbook status: 2 - should do

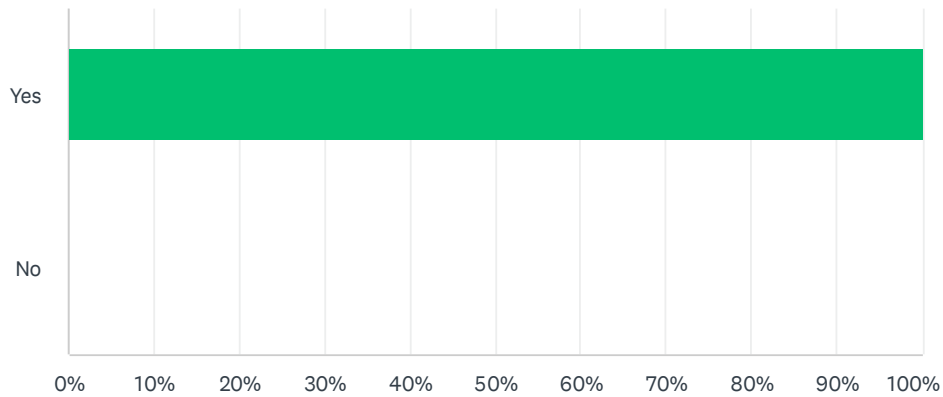
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ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q19 Has the committee reviewed whether the reports it receives (including assurance statements from the Head of Internal Audit) are timely and have the right format and content to ensure its internal control and risk management responsibilities are discharged? NHS Handbook status: 2 - should do

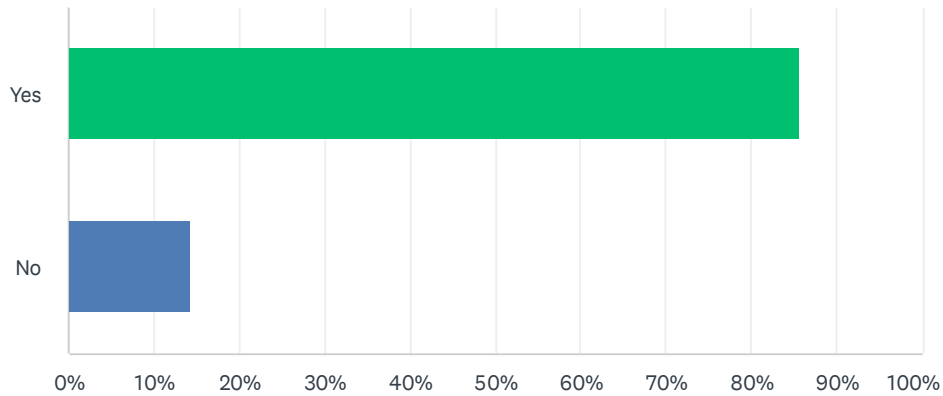
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES
Yes	100.00% 7
No	0.00% 0
TOTAL	7

Q20 Does the Board ensure that Committee members have sufficient knowledge of the organisation to identify key risks and to challenge both line management and auditors on critical and sensitive matters?NHS Handbook status: 2 - should do

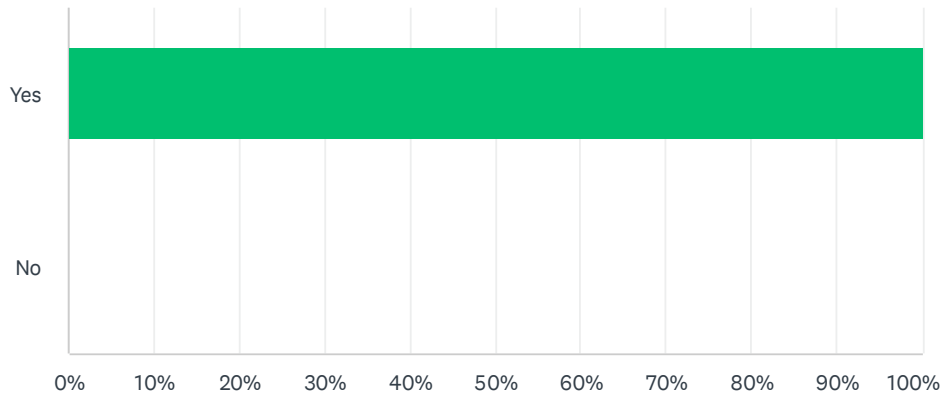
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	85.71%	6
No	14.29%	1
TOTAL		7

Q21 Is the committee satisfied that the Board has been advised that assurance reporting is in place to encompass all the organisations responsibilities? NHS Handbook status: 2 - should do

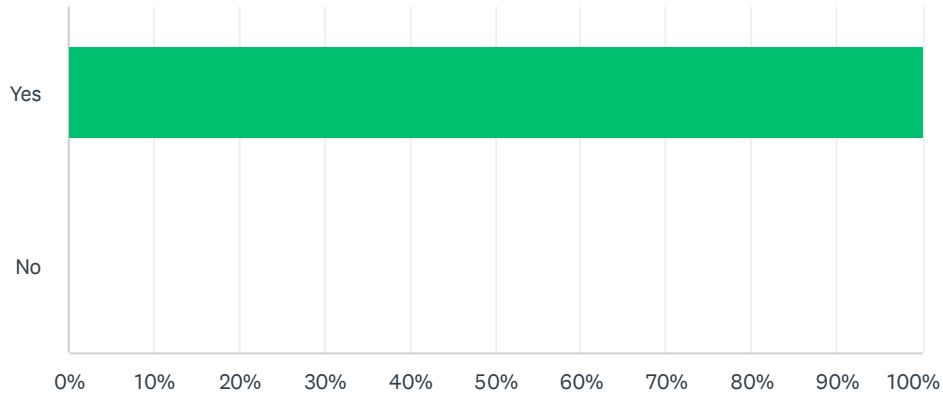
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q22 There is active consideration of audit plans and results of external audit?

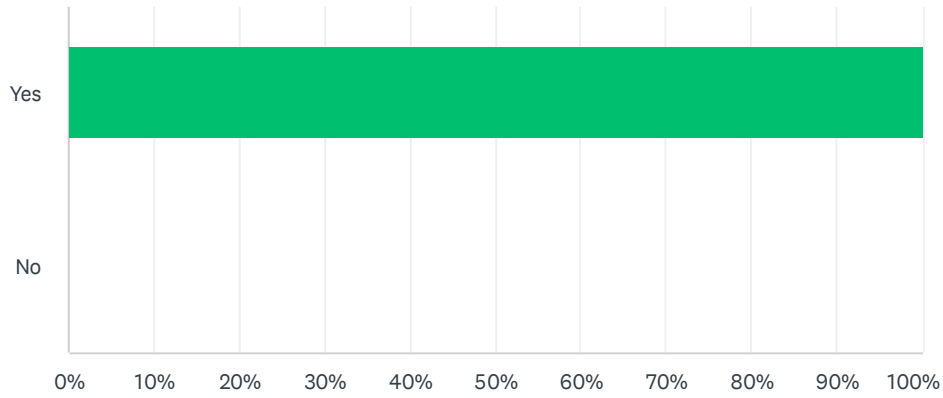
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q23 There is appropriate consideration of Internal Audit’s plan, resources, and ability?

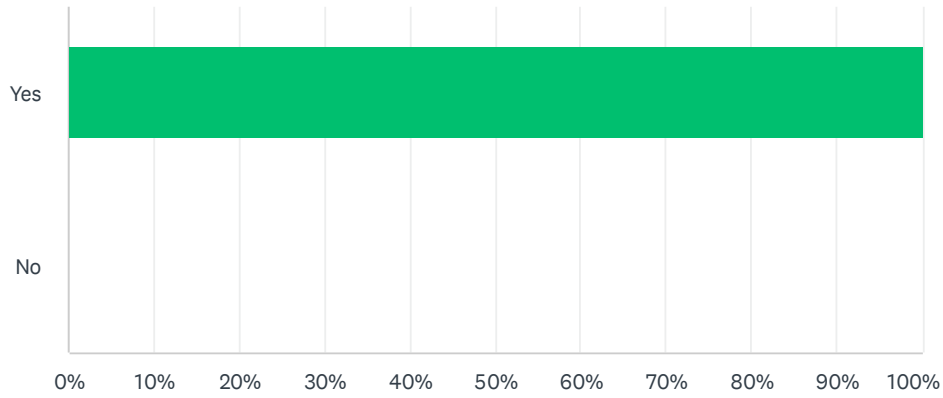
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q24 There is appropriate consideration of Internal Audit's reports, management's response, and improvement actions?

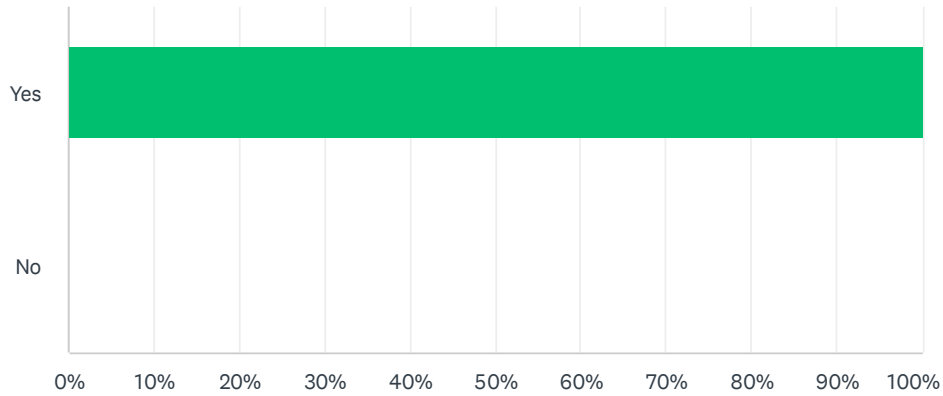
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q25 Are the terms of reference for Internal Audit approved by the Committee and routinely reviewed? NHS Handbook status: 1 - must do

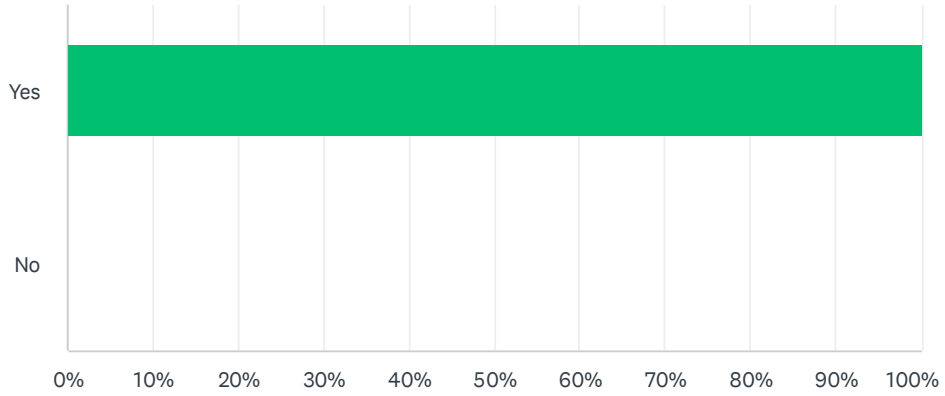
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q26 Does the Committee review and approve the internal audit plan at the beginning of the financial year? NHS Handbook status: 1 - must do

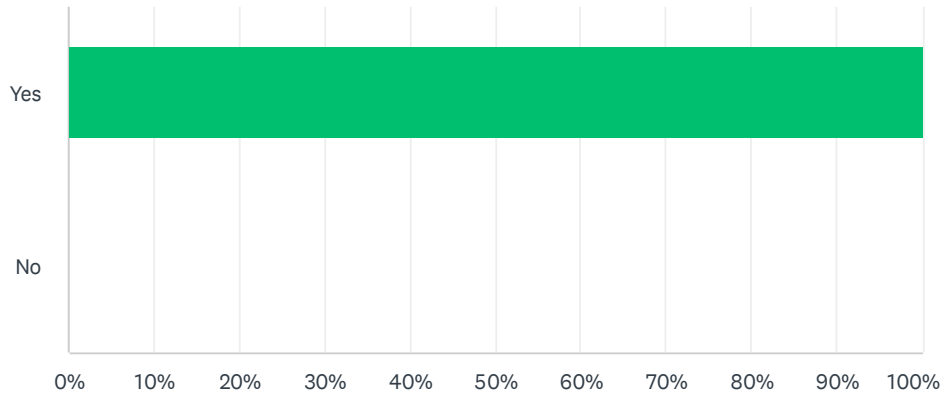
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q27 Does the committee approve any material changes to the Internal Audit plan? NHS Handbook status: 1 - must do

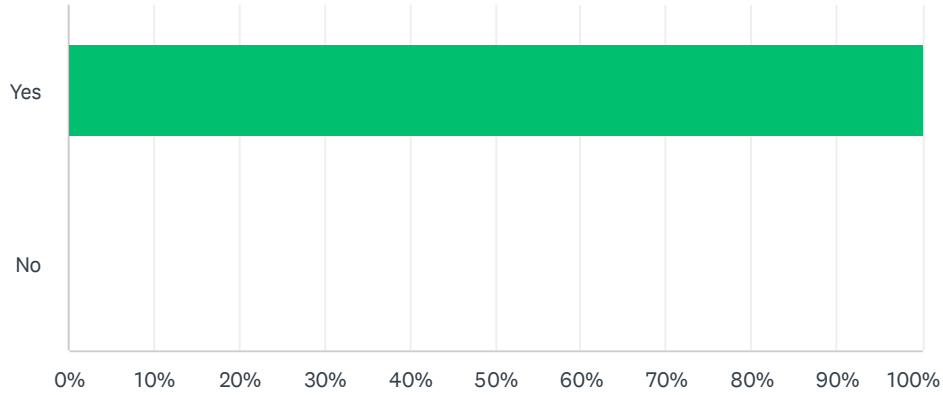
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q28 Does the committee effectively monitor the implementation of management actions arising from Internal Audit reports? NHS Handbook status: 2 - should do

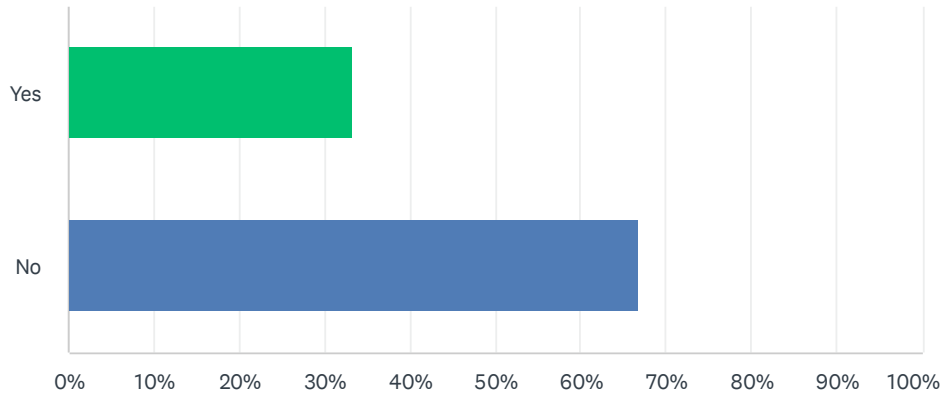
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q29 Are any scope restrictions placed on Internal Audit and, if so, what are they and who establishes them? NHS Handbook status: 2 - should do

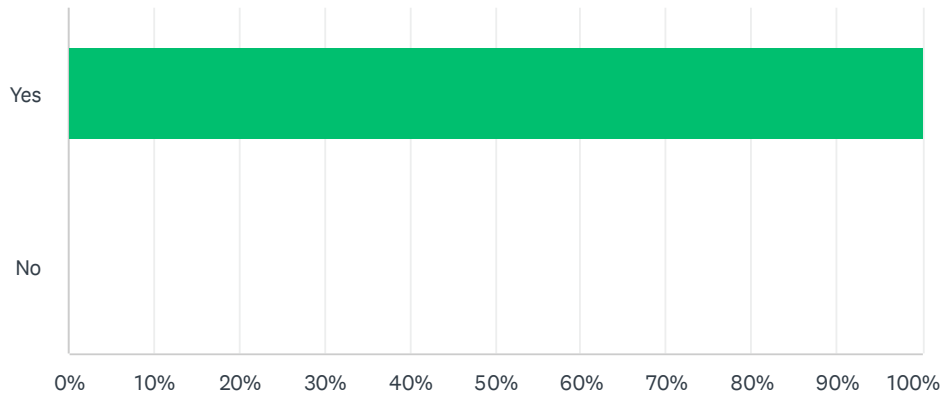
Answered: 6 Skipped: 1



ANSWER CHOICES	RESPONSES	
Yes	33.33%	2
No	66.67%	4
TOTAL		6

Q30 Does the Committee review the effectiveness of Internal Audit and the adequacy of staffing and resources within Internal Audit?NHS Handbook status: 2 - should do

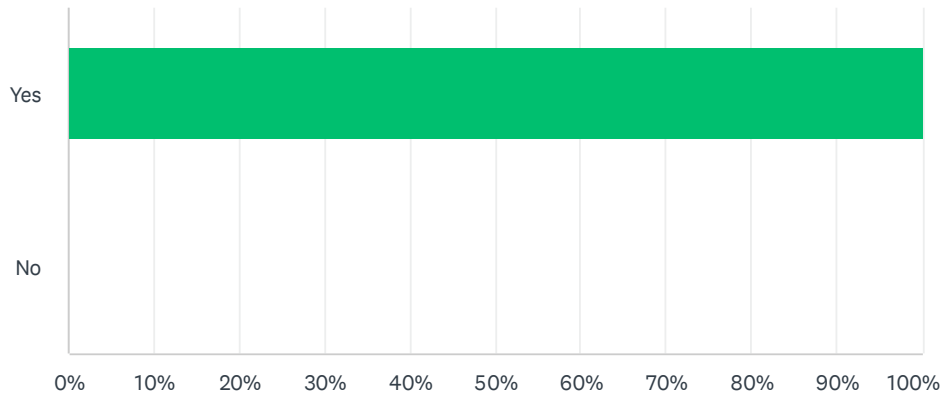
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q31 Has the committee agreed a range of Internal Audit performance measures to be reported on a routine basis? NHS Handbook status: 3 - could do

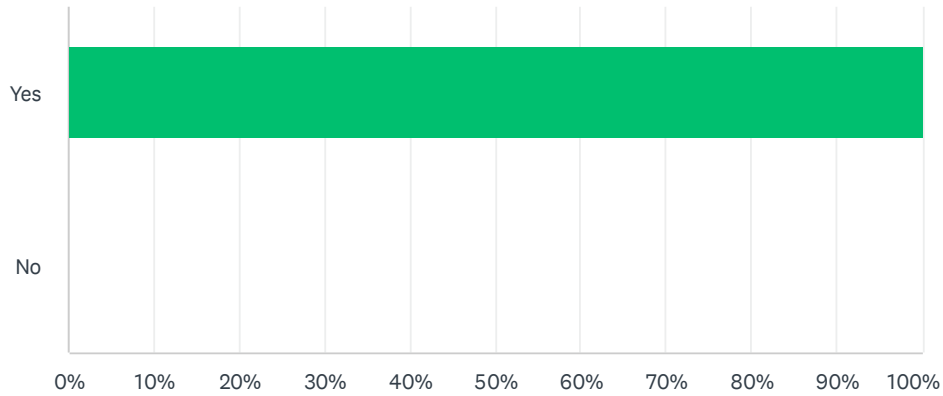
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q32 Does the Committee receive and monitor actions taken in respect of prior year External Audit plans? NHS Handbook status: 2 - should do

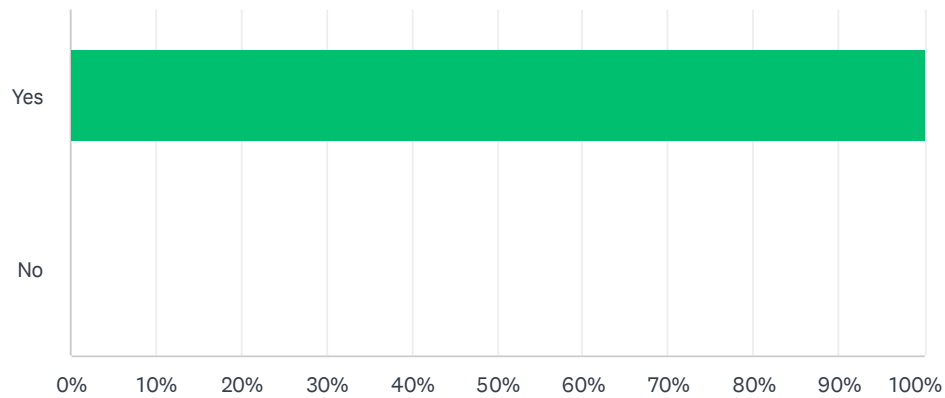
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q33 Does the Committee review the External Auditor’s Annual audit letter and asses the performance of the External Audit?NHS Handbook status: 1 - must do

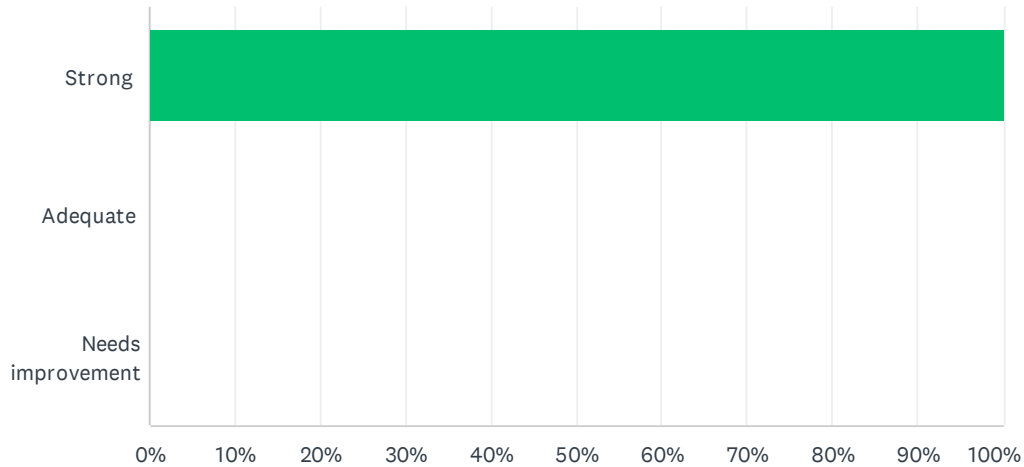
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Q34 The audit committee’s self-evaluation process is in place and effective. NHS Handbook status: 2 - should do

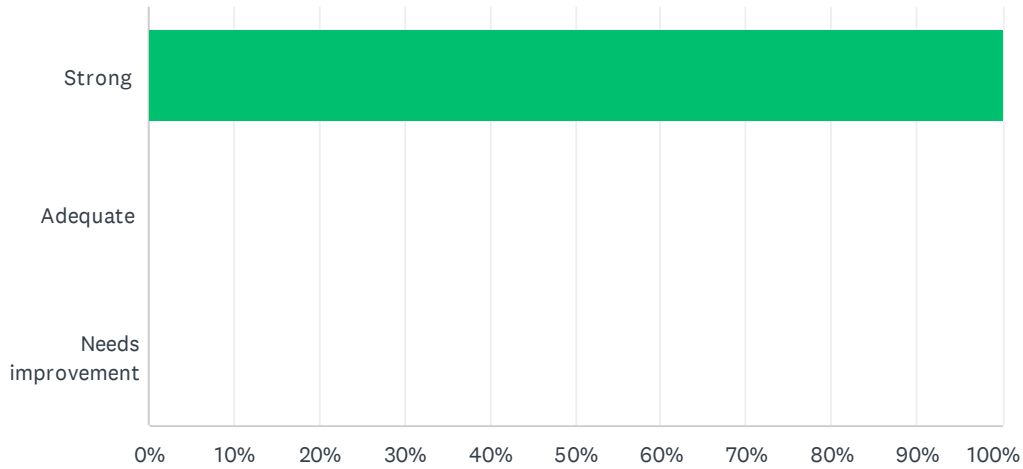
Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Strong	100.00%	7
Adequate	0.00%	0
Needs improvement	0.00%	0
TOTAL		7

Q35 What is your overall assessment of the performance of the Audit & Assurance Committee?

Answered: 7 Skipped: 0



ANSWER CHOICES	RESPONSES	
Strong	100.00%	7
Adequate	0.00%	0
Needs improvement	0.00%	0
TOTAL		7

Q36 Additional Comments

Answered: 0 Skipped: 7

Q37 Name

Answered: 5 Skipped: 2

Q38 Position

Answered: 5 Skipped: 2