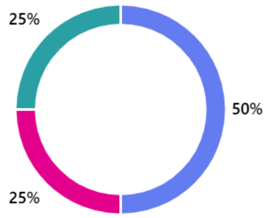
Responses Overview

Closed

Responses	Average Time	Duration
8	20:07	18 Days

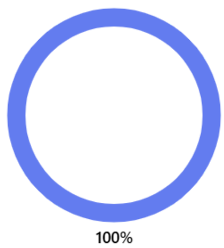
1. Are you a member, officer or Auditor (Internal/External) of the Committee? *Members are Independent Members providing oversight and scr utiny and officers are organisational leads providing the information)*

Member	4
Officer	2
Auditor	2



2. Does the Committee have written Terms of Reference, which adequately define its role in accordance with Welsh Government guidance?

Yes	8
No	0
Do not know	0



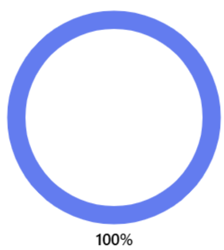
3. Comment field

0 responses submitted

0
Responses

4. Are the Terms of Reference reviewed annually to take into account governance developments and the remit of other Committees within t he organisation?

Yes	8
No	0
Do not know	0



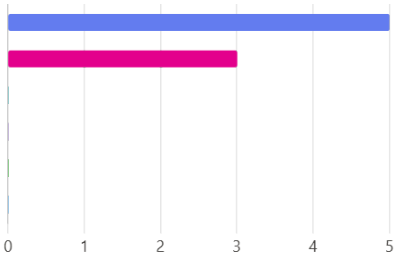
5. Comment field

0
Responses

0 responses submitted

6. The Committee has been provided with sufficient authority and resources to perform its role effectively

Strongly Agree	5
Agree	3
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



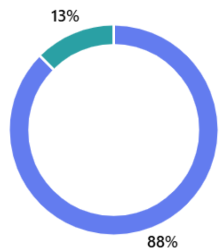
7. Comment field

0
Responses

0 responses submitted

8. Does the Committee prepare an Annual Report on its work and performance in preceding year, for consideration by the Health Board?

Yes	7
No	0
Do not know	1



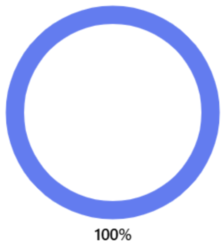
9. Comment field

1
Responses

Latest Responses
...

10. Has the Committee established a cycle of business to be dealt with across the year?

Yes	8
No	0
Do not know	0



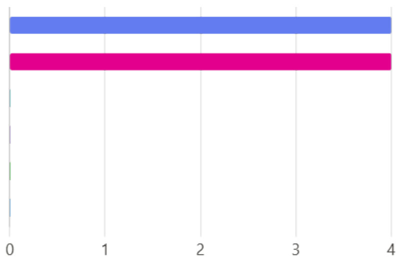
11. Comment field

0
Responses

0 responses submitted

12. The Committee meets sufficiently frequently to deal with planned matters and enough time allowed for questions and discussions

Strongly Agree	4
Agree	4
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



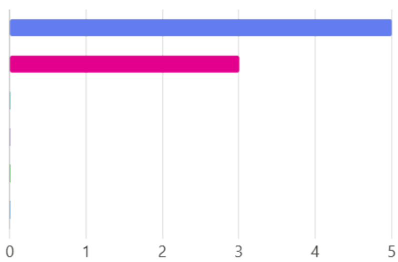
13. Comment field

1
Responses

Latest Responses
...

14. The atmosphere at Committee meetings are conductive to open and productive debate

Strongly Agree	5
Agree	3
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



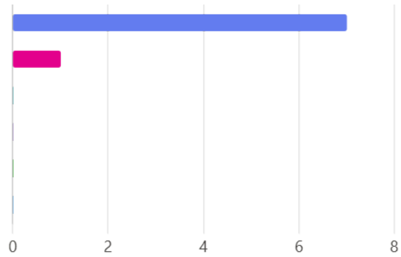
15. Comment field

0 responses submitted

0
Responses

16. The behaviour of all members and attendees is courteous and professional

Strongly Agree	7
Agree	1
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



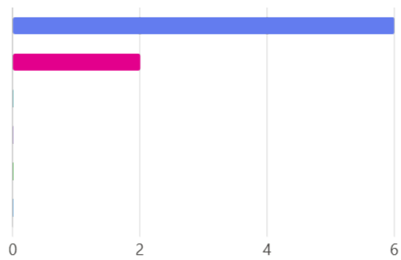
17. Comment field

0 responses submitted

0
Responses

18. Where private meetings of the Committee are held, these have been used appropriately for items that should not be discussed in the pu blic domain (i.e. commercially sensitive, identifiable information)?

Strongly Agree	6
Agree	2
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



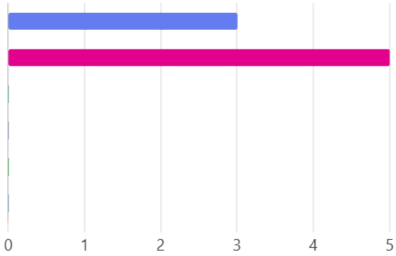
19. Comment field

0 responses submitted

0
Responses

20. The Committee has formally considered how it integrates with other Committees that are reviewing risk (e.g. Risk Management)? *NB: Corporate Risks are assigned to the relevant Committee for scrutiny and assurance.*

Strongly Agree	3
Agree	5
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



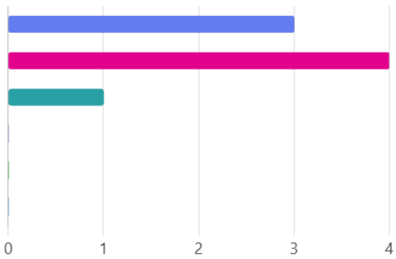
21. Comment field

1
Responses

Latest Responses
...

22. The Committee has reviewed the robustness and effectiveness of the content of the organisation's internal assurance system? *NB: Board Assurance Framework*

Strongly Agree	3
Agree	4
Slightly Agree	1
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



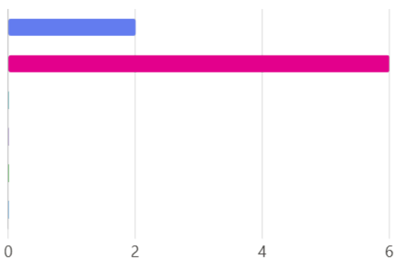
23. Comment field

1
Responses

Latest Responses
...

24. Reports received by the Committee are timely and have the right format / content, to enhance it to discharge its internal control and risk management responsibilities

Strongly Agree	2
Agree	6
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



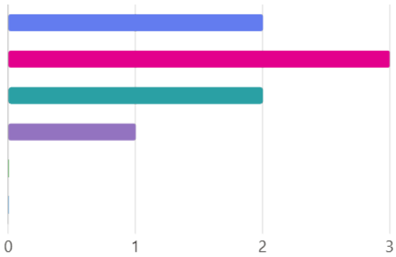
25. Comment field

4
Responses

Latest Responses
"When downloading the papers from AdminControl they don't always follow the s... "
"Some reports could be more concise and focussed or at least have an executive s... "
...

26. Does the committee review governance arrangements of external partners?

Strongly Agree	2
Agree	3
Slightly Agree	2
Slightly Disagree	1
Disagree	0
Strongly Disagree	0



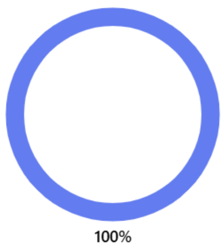
27. Comment field

2
Responses

Latest Responses
...

28. Does the Committee review and approve the Internal Audit Plan at the beginning of the financial year?

Yes	8
No	0
Do not know	0



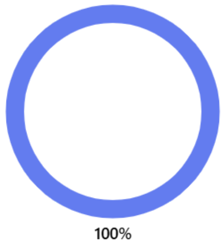
29. Comment field

1
Responses

Latest Responses
"A separate discussion with internal audit is held most months to discuss the plan,... "

30. Does the Committee approve any material changes to the Internal Audit Plan?

Yes	8
No	0
Do not know	0



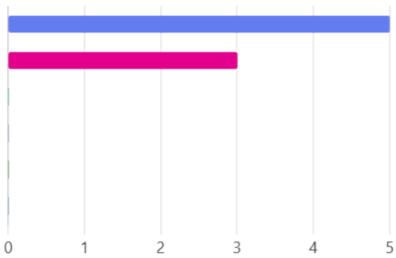
31. Comment field

0
Responses

0 responses submitted

32. Audit plans are derived from clear processes based on risk assessment with clear links to the system of assurance? *NB: A system of assurance is a set of arrangements which enables the organisation to ensure it has the right focus, behaviours and ways of working to ensure the sustainable achievement of its objectives in accordance with legal and other requirements.*

Strongly Agree	5
Agree	3
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



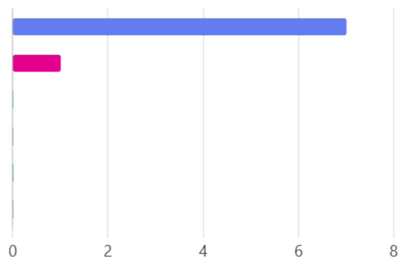
33. Comment field

0
Responses

0 responses submitted

34. The Committee receives periodic progress reports from the Head of Internal Audit

Strongly Agree	7
Agree	1
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



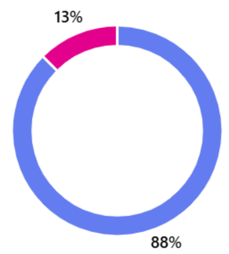
35. Comment field

1
Responses

Latest Responses
"In both main committee and in separate meetings with Internal Audit and IM's"

36. If any audit recommendations are not accepted does the Committee investigate the reasons for management refusal to accept audit rec ommendations?

Yes	7
No	1
Do not know	0



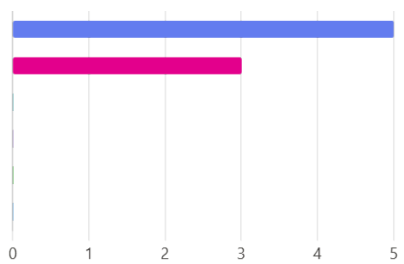
37. Comment field

1
Responses

Latest Responses
"All audit findings that are accepted by management will be included in the report..."

38. The Committee effectively monitors the implementation of management actions from Audit Reports?

Strongly Agree	5
Agree	3
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



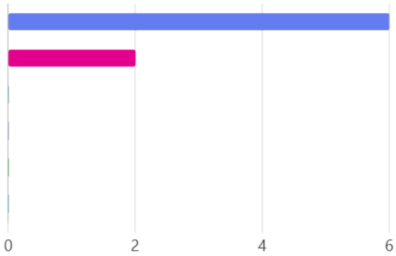
39. Comment field

2
Responses

Latest Responses
"At each meeting"
...

40. The Head of Internal Audit has open access to the Committee and its Chair?

Strongly Agree	6
Agree	2
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



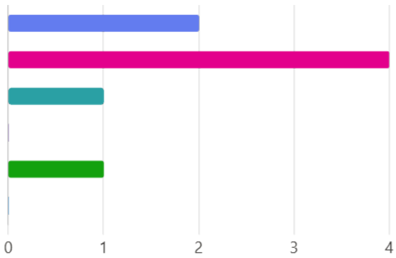
41. Comment field

0
Responses

0 responses submitted

42. The Committee reviews the effectiveness of Internal Audit and the adequacy of staffing and resources within Internal Audit? *NB: the Inter nal Audit programme approved by the Committee includes staffing and resource information.*

Strongly Agree	2
Agree	4
Slightly Agree	1
Slightly Disagree	0
Disagree	1
Strongly Disagree	0



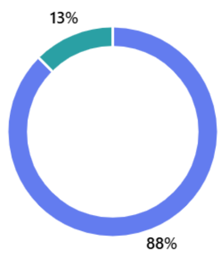
43. Comment field

1
Responses

Latest Responses
...

44. Has the Committee evaluated whether Internal Audit complies with the Public Sector Internal Audit Standards (PSIAS)? *NB: the Internal A udit programme approved by the Committee includes PSIAS.*

Yes	7
No	0
Do not know	1



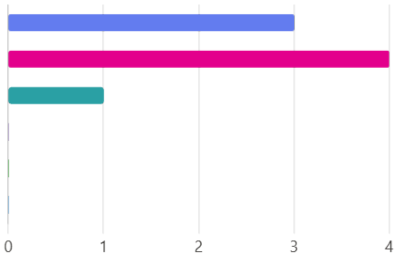
45. Comment field

0 responses submitted

0
Responses

46. The Committee has agreed a range of Internal Audit performance measures to be reported on a routine basis *NB: the Internal Audit performance measures are included in the Internal Audit Charter.*

Strongly Agree	3
Agree	4
Slightly Agree	1
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



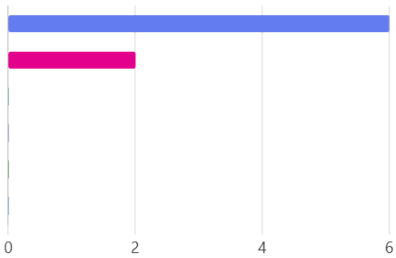
47. Comment field

0 responses submitted

0
Responses

48. The Committee receives and reviews the Head of Internal Audit's Annual Report and Opinion

Strongly Agree	6
Agree	2
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



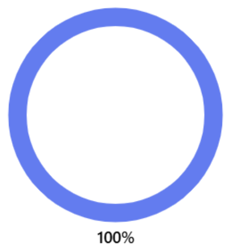
49. Comment field

0 responses submitted

0
Responses

50. Do the Auditor General for Wales (AGW) representatives present their Audit Plans and progress reports to the Audit Committee, for cons ideration?

Yes	8
No	0
Do not know	0



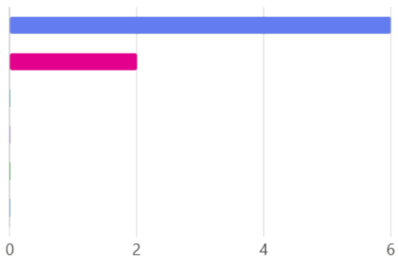
51. Comment field

0 responses submitted

0
Responses

52. The Committee receives and monitors actions taken in respect of prior years' reviews

Strongly Agree	6
Agree	2
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



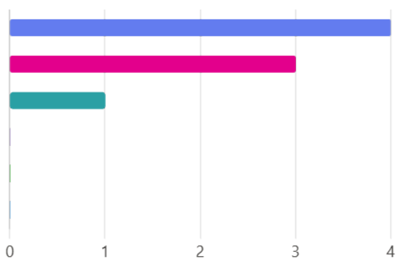
53. Comment field

0 responses submitted

0
Responses

54. The Committee assesses the quality and effectiveness of External Audit work (both financial and non-financial audit)

Strongly Agree	4
Agree	3
Slightly Agree	1
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



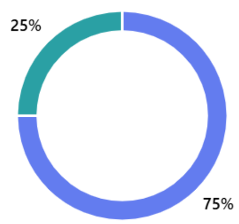
55. Comment field

0
Responses

0 responses submitted

56. Does the Committee review the nature and value of non-statutory work commissioned by organisation from the Auditor General?

Yes	6
No	0
Do not know	2



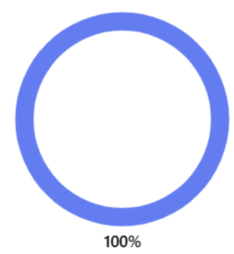
57. Comment field

0
Responses

0 responses submitted

58. Does the Committee review and approve the Counter Fraud Work Plan at the beginning of the financial year?

Yes	8
No	0
Do not know	0



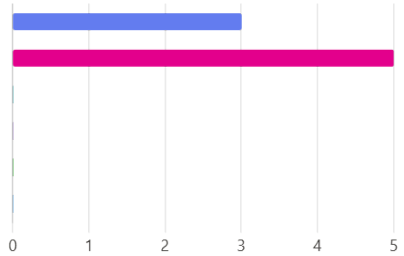
59. Comment field

0
Responses

0 responses submitted

60. The Committee satisfies itself that the Work Plan adequately covers the areas within the NHS Counter Fraud Policy

Strongly Agree	3
Agree	5
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



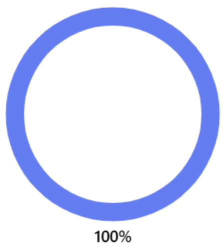
61. Comment field

0
Responses

0 responses submitted

62. Does the Committee approve any material changes to the Plan?

Yes	8
No	0
Do not know	0



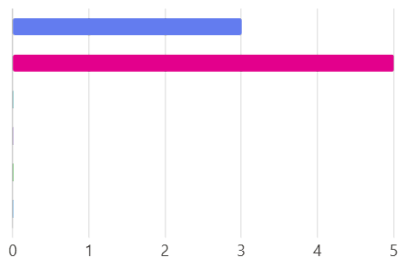
63. Comment field

0
Responses

0 responses submitted

64. Counter Fraud Plans are derived from clear processes based on Risk Assessment

Strongly Agree	3
Agree	5
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



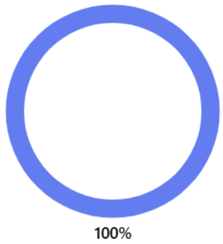
65. Comment field

0
Responses

0 responses submitted

66. The Committee receives periodic reports from the Local Counter Fraud Specialist?

Yes	8
No	0
Do not know	0



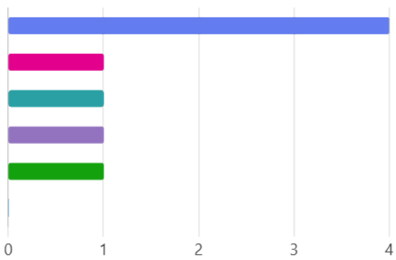
67. Comment field

0
Responses

0 responses submitted

68. The Committee effectively monitors the implementation of management actions arising from Counter Fraud reports

Strongly Agree	4
Agree	1
Slightly Agree	1
Slightly Disagree	1
Disagree	1
Strongly Disagree	0



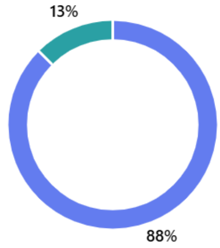
69. Comment field

1
Responses

Latest Responses
"It has been raised in IA Follow Up reports that the health board incorporate coun... "

70. Does the Local Counter Fraud Specialist have a right of direct access to the Committee and its Chair?

Yes	7
No	0
Do not know	1



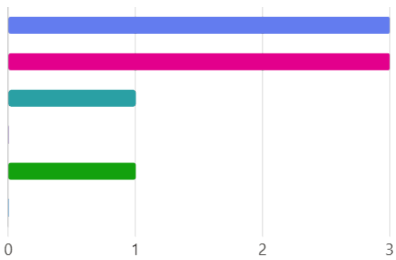
71. Comment field

0
Responses

0 responses submitted

72. The Committee reviews the effectiveness of the Local Counter Fraud Service and the adequacy of its staffing resources

Strongly Agree	3
Agree	3
Slightly Agree	1
Slightly Disagree	0
Disagree	1
Strongly Disagree	0



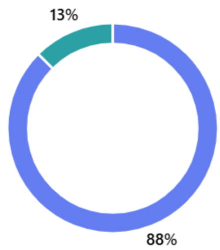
73. Comment field

1
Responses

Latest Responses
...

74. The Committee receives and reviews the Local Counter Fraud Specialist's Annual Report of Counter Fraud Activity and Qualitative Assessment?

Yes	7
No	0
Do not know	1



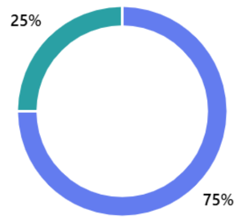
75. Comment field

0 responses submitted

0
Responses

76. Does the Committee receive and discuss reports arising from quality inspections by NHS Counter Fraud Authority?

Yes	6
No	0
Do not know	2



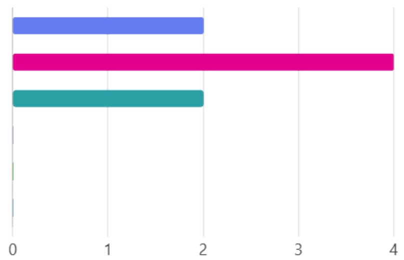
77. Comment field

0 responses submitted

0
Responses

78. The Committee reviews assurance and regulatory / legislative compliance reporting processes

Strongly Agree	2
Agree	4
Slightly Agree	2
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



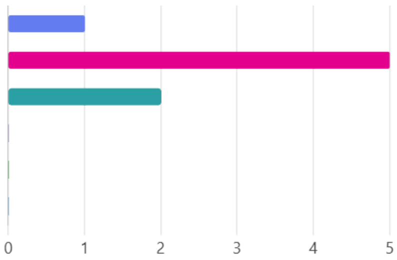
79. Comment field

0 responses submitted

0
Responses

80. The Committee has a mechanism to ensure awareness of topical, legal and regulatory issues

Strongly Agree	1
Agree	5
Slightly Agree	2
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



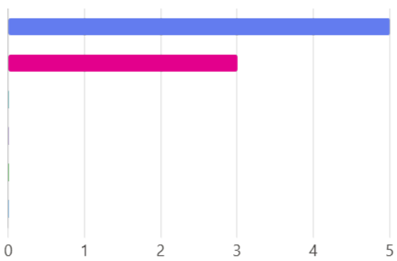
81. Comment field

0
Responses

0 responses submitted

82. Audit Committee meetings are chaired effectively and with clarity of purpose and outcome

Strongly Agree	5
Agree	3
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



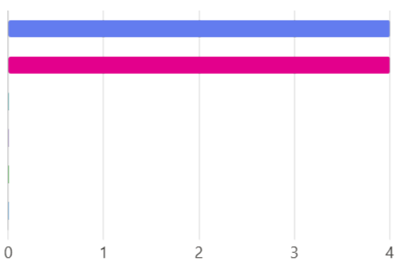
83. Comment field

0
Responses

0 responses submitted

84. Each agenda item is 'closed off' appropriately so it is clear what the conclusion is ('closed off' meaning the outcome of the discussion / a genda item is clear i.e. for noting, for approval, the action captured)

Strongly Agree	4
Agree	4
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



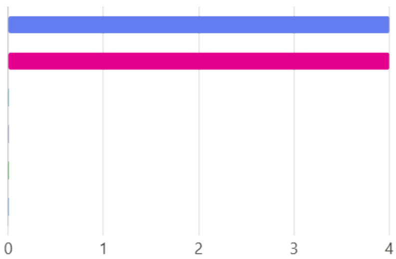
85. Comment field

0 responses submitted

0
Responses

86. The Committee Chair provides clear and concise information to the Board on the activities of the Committee and the implication of all id entified gaps in assurance and / or control

Strongly Agree	4
Agree	4
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



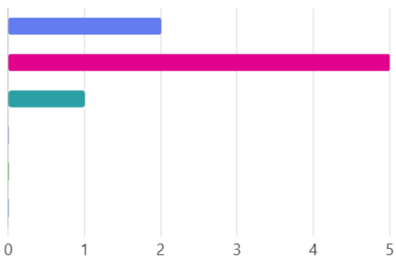
87. Comment field

0 responses submitted

0
Responses

88. The Committee is adequately supported by Executive Directors in terms of attendance, quality and length of papers and response to cha llenges / questions

Strongly Agree	2
Agree	5
Slightly Agree	1
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



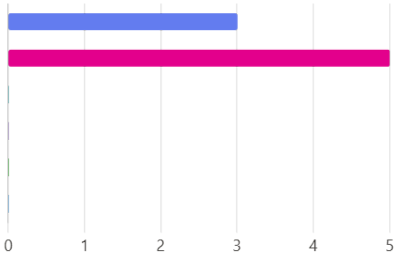
89. Comment field

1
Responses

Latest Responses
"It has been noted on some occasions that having a Director or their Deputy prese..."

90. The Committee is adequately supported by the Committee Meeting Secretariat

Strongly Agree	3
Agree	5
Slightly Agree	0
Slightly Disagree	0
Disagree	0
Strongly Disagree	0



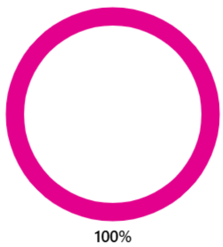
91. Comment field

0
Responses

0 responses submitted

92. Do you need additional training to fulfil your role as a member (or attendee) of the Audit Committee?

Yes	0
No	8
Do not know	0



93. Comment field

1
Responses

Latest Responses
...

94. Do you have any general comments about the Committee's effectiveness that you would wish to make? If you have any suggestions on making best use of the time the Committee has, please advise below.

2
Responses

Latest Responses
"There are further opportunities to enhance cross-committee working to support ... "
...