

2.6 Annual Review of the Committee's Self-Assessment of Effectiveness

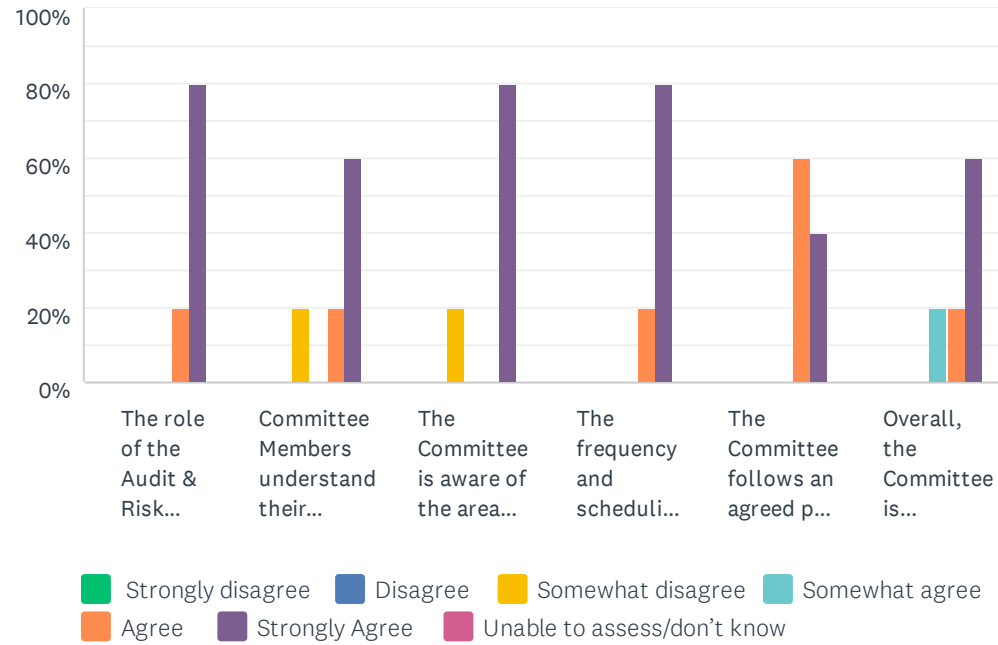
Presenter: Chair

ARAC Self-Assessment 2019/20 - Members

ARAC Self-Assessment 2019/20 - In Attendance Members

Q1 The Role/ Purpose of the Committee

Answered: 5 Skipped: 0

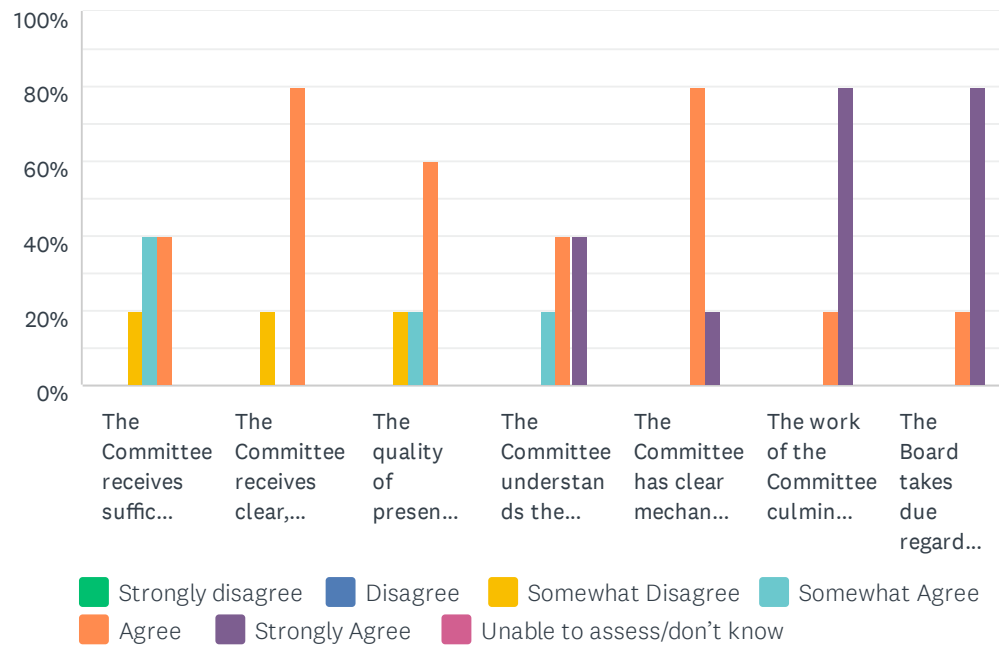


ARAC Members 2019/20

	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
The role of the Audit & Risk Assurance Committee is understood and clearly defined in its Terms of Reference.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	20.00% 1	80.00% 4	0.00% 0	5	5.80
Committee Members understand their individual role and what is expected of them.	0.00% 0	0.00% 0	20.00% 1	0.00% 0	20.00% 1	60.00% 3	0.00% 0	5	5.20
The Committee is aware of the areas in which it can take decisions under the Health Board's Scheme of Delegation.	0.00% 0	0.00% 0	20.00% 1	0.00% 0	0.00% 0	80.00% 4	0.00% 0	5	5.40
The frequency and scheduling of Committee meetings are sufficient to carry out its functions and responsibilities.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	20.00% 1	80.00% 4	0.00% 0	5	5.80
The Committee follows an agreed plan for the year's work.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	60.00% 3	40.00% 2	0.00% 0	5	5.40
Overall, the Committee is effectively fulfilling its Terms of Reference.	0.00% 0	0.00% 0	0.00% 0	20.00% 1	20.00% 1	60.00% 3	0.00% 0	5	5.40

Q2 Scope of work

Answered: 5 Skipped: 0



ARAC Members 2019/20

	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
The Committee receives sufficient and timely information to review, understand and assess the issues for discussion on which to base its decisions.	0.00% 0	0.00% 0	20.00% 1	40.00% 2	40.00% 2	0.00% 0	0.00% 0	5	4.20
The Committee receives clear, concise agendas and papers which focus on the key issues and priorities.	0.00% 0	0.00% 0	20.00% 1	0.00% 0	80.00% 4	0.00% 0	0.00% 0	5	4.60
The quality of presentations made to the Committee is appropriate.	0.00% 0	0.00% 0	20.00% 1	20.00% 1	60.00% 3	0.00% 0	0.00% 0	5	4.40
The Committee understands the issues which are on the horizon for the Health Board which may impact on its areas of work.	0.00% 0	0.00% 0	0.00% 0	20.00% 1	40.00% 2	40.00% 2	0.00% 0	5	5.20
The Committee has clear mechanisms in place to keep it aware of topical, legal and regulatory issues.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	80.00% 4	20.00% 1	0.00% 0	5	5.20
The work of the Committee culminates in appropriate recommendations to the Board.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	20.00% 1	80.00% 4	0.00% 0	5	5.80
The Board takes due regard of the recommendations from the Committee.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	20.00% 1	80.00% 4	0.00% 0	5	5.80

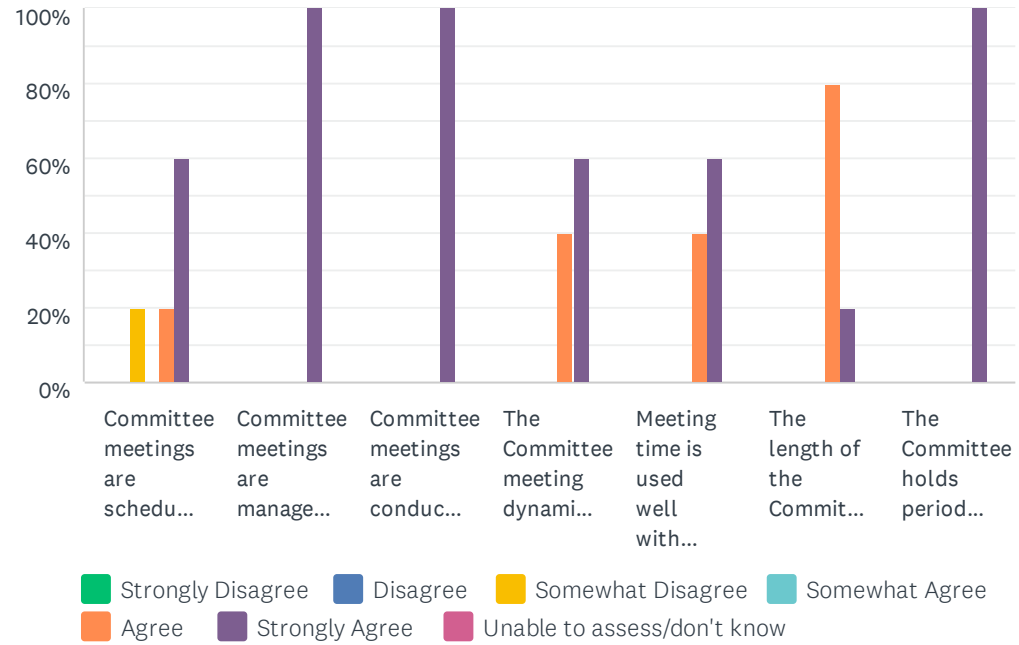
#	COMMENTS FOR "THE COMMITTEE RECEIVES SUFFICIENT AND TIMELY INFORMATION TO REVIEW, UNDERSTAND AND ASSESS THE ISSUES FOR DISCUSSION ON WHICH TO BASE ITS DECISIONS."	DATE
1	On occasions sufficient information is not received although efforts are being made to ensure papers do provide this.	3/17/2020 5:11 PM
#	COMMENTS FOR "THE COMMITTEE RECEIVES CLEAR, CONCISE AGENDAS AND PAPERS WHICH FOCUS ON THE KEY ISSUES AND PRIORITIES."	DATE
1	Papers are not always concise but have improved over the year.	3/17/2020 5:11 PM
2	I am still not convinced the papers are as short as they could/should be to enable us to focus on the key areas for concern	3/16/2020 9:31 PM
#	COMMENTS FOR "THE QUALITY OF PRESENTATIONS MADE TO THE COMMITTEE IS APPROPRIATE."	DATE
	There are no responses.	

ARAC Members 2019/20

#	COMMENTS FOR "THE COMMITTEE UNDERSTANDS THE ISSUES WHICH ARE ON THE HORIZON FOR THE HEALTH BOARD WHICH MAY IMPACT ON ITS AREAS OF WORK."	DATE
1	I would have rated this more highly normally but Covid 19 is likely to bring issues and risks we had not anticipated	3/16/2020 9:31 PM
#	COMMENTS FOR "THE COMMITTEE HAS CLEAR MECHANISMS IN PLACE TO KEEP IT AWARE OF TOPICAL, LEGAL AND REGULATORY ISSUES."	DATE
	There are no responses.	
#	COMMENTS FOR "THE WORK OF THE COMMITTEE CULMINATES IN APPROPRIATE RECOMMENDATIONS TO THE BOARD."	DATE
	There are no responses.	
#	COMMENTS FOR "THE BOARD TAKES DUE REGARD OF THE RECOMMENDATIONS FROM THE COMMITTEE. "	DATE
	There are no responses.	

Q3 Meetings

Answered: 5 Skipped: 0



ARAC Members 2019/20

	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
Committee meetings are scheduled with sufficient time to cover all agenda items, including discussion and answering questions.	0.00% 0	0.00% 0	20.00% 1	0.00% 0	20.00% 1	60.00% 3	0.00% 0	5	5.20
Committee meetings are managed and controlled effectively	0.00% 0	0.00% 0	0.00% 0	0.00% 0	0.00% 0	100.00% 5	0.00% 0	5	6.00
Committee meetings are conducted in a business-like manner.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	0.00% 0	100.00% 5	0.00% 0	5	6.00
The Committee meeting dynamic encourages full participation and open communications.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	40.00% 2	60.00% 3	0.00% 0	5	5.60
Meeting time is used well with issues getting the time and attention proportionate to their importance.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	40.00% 2	60.00% 3	0.00% 0	5	5.60
The length of the Committee's meetings is appropriate in relation to the agenda.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	80.00% 4	20.00% 1	0.00% 0	5	5.20
The Committee holds periodic private discussions with Internal Audit, External Audit and Counter-Fraud.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	0.00% 0	100.00% 5	0.00% 0	5	6.00

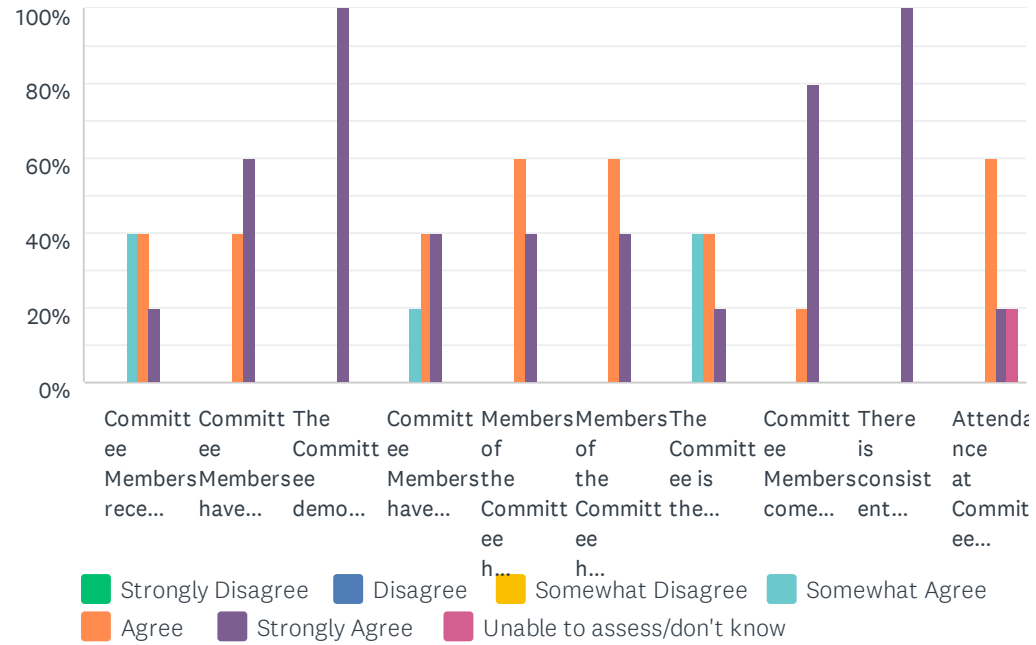
#	COMMENTS FOR "COMMITTEE MEETINGS ARE SCHEDULED WITH SUFFICIENT TIME TO COVER ALL AGENDA ITEMS, INCLUDING DISCUSSION AND ANSWERING QUESTIONS."	DATE
1	Some meetings have had very long agendas e.g. large numbers of IA reports. Efforts are being made to schedule work more appropriately and avoid this towards the year end but will it be possible?	3/17/2020 5:11 PM
#	COMMENTS FOR "COMMITTEE MEETINGS ARE MANAGED AND CONTROLLED EFFECTIVELY"	DATE
	There are no responses.	
#	COMMENTS FOR "COMMITTEE MEETINGS ARE CONDUCTED IN A BUSINESS-LIKE MANNER."	DATE
	There are no responses.	
#	COMMENTS FOR "THE COMMITTEE MEETING DYNAMIC ENCOURAGES FULL PARTICIPATION AND OPEN COMMUNICATIONS."	DATE
	There are no responses.	

ARAC Members 2019/20

#	COMMENTS FOR "MEETING TIME IS USED WELL WITH ISSUES GETTING THE TIME AND ATTENTION PROPORTIONATE TO THEIR IMPORTANCE."	DATE
1	Discussions is sometimes a bit rushed when the agenda is very long.	3/17/2020 5:11 PM
#	COMMENTS FOR "THE LENGTH OF THE COMMITTEE'S MEETINGS IS APPROPRIATE IN RELATION TO THE AGENDA."	DATE
	There are no responses.	
#	COMMENTS FOR "THE COMMITTEE HOLDS PERIODIC PRIVATE DISCUSSIONS WITH INTERNAL AUDIT, EXTERNAL AUDIT AND COUNTER-FRAUD."	DATE
	There are no responses.	

Q4 Membership

Answered: 5 Skipped: 0



ARAC Members 2019/20

	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
Committee Members receive induction and ongoing development.	0.00% 0	0.00% 0	0.00% 0	40.00% 2	40.00% 2	20.00% 1	0.00% 0	5	4.80
Committee Members have the collective skills and experience to fulfil its Terms of Reference.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	40.00% 2	60.00% 3	0.00% 0	5	5.60
The Committee demonstrates in its actions that it operates independently of the management team.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	0.00% 0	100.00% 5	0.00% 0	5	6.00
Committee Members have sufficient knowledge of the organisation to identify key risk areas and to provide challenge on critical and sensitive matters.	0.00% 0	0.00% 0	0.00% 0	20.00% 1	40.00% 2	40.00% 2	0.00% 0	5	5.20
Members of the Committee have a good understanding of the organisation's accounting policies and practices.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	60.00% 3	40.00% 2	0.00% 0	5	5.40
Members of the Committee have a good understanding of the organisation's finances.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	60.00% 3	40.00% 2	0.00% 0	5	5.40
The Committee is the right size and sufficiently diverse.	0.00% 0	0.00% 0	0.00% 0	40.00% 2	40.00% 2	20.00% 1	0.00% 0	5	4.80
Committee Members come to meetings prepared and ready to contribute.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	20.00% 1	80.00% 4	0.00% 0	5	5.80
There is consistent attendance and timely arrival by Members at Committee meetings.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	0.00% 0	100.00% 5	0.00% 0	5	6.00
Attendance at Committee meetings is evaluated as a criterion for continued membership on the Committee.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	60.00% 3	20.00% 1	20.00% 1	5	5.60

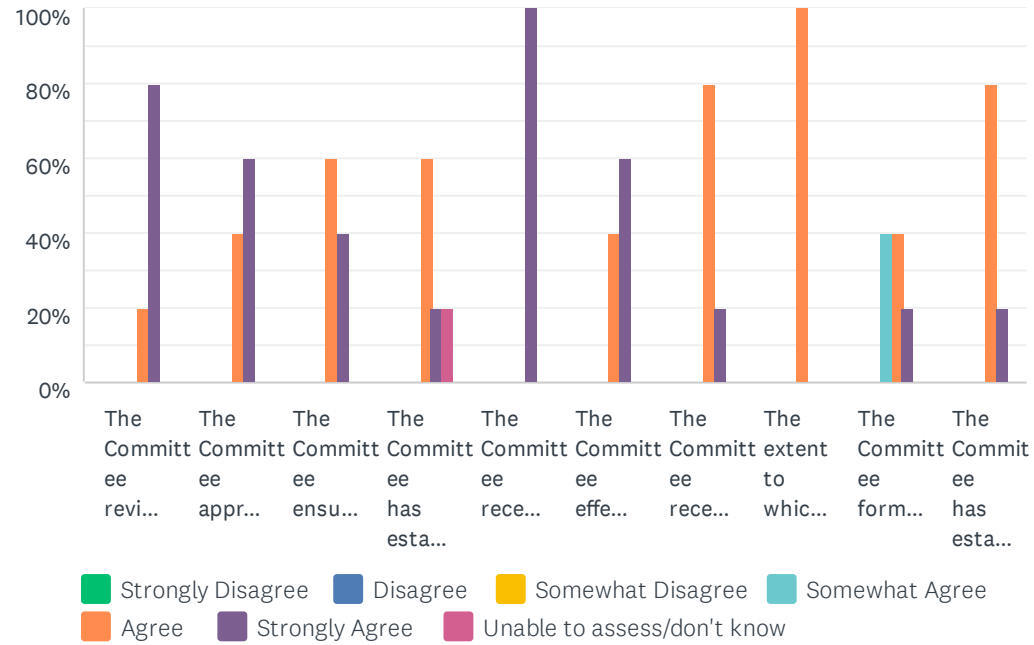
#	COMMENTS FOR "COMMITTEE MEMBERS RECEIVE INDUCTION AND ONGOING DEVELOPMENT."	DATE
	There are no responses.	
#	COMMENTS FOR "COMMITTEE MEMBERS HAVE THE COLLECTIVE SKILLS AND EXPERIENCE TO FULFIL ITS TERMS OF REFERENCE."	DATE
	There are no responses.	

ARAC Members 2019/20

#	COMMENTS FOR "THE COMMITTEE DEMONSTRATES IN ITS ACTIONS THAT IT OPERATES INDEPENDENTLY OF THE MANAGEMENT TEAM."	DATE
	There are no responses.	
#	COMMENTS FOR "COMMITTEE MEMBERS HAVE SUFFICIENT KNOWLEDGE OF THE ORGANISATION TO IDENTIFY KEY RISK AREAS AND TO PROVIDE CHALLENGE ON CRITICAL AND SENSITIVE MATTERS."	DATE
1	I am not sure we have enough dip-testing, other than through IA and WAO reports, for us to say confidently we are would be aware of any emerging key risk areas.	3/16/2020 9:31 PM
#	COMMENTS FOR "MEMBERS OF THE COMMITTEE HAVE A GOOD UNDERSTANDING OF THE ORGANISATION'S ACCOUNTING POLICIES AND PRACTICES."	DATE
	There are no responses.	
#	COMMENTS FOR "MEMBERS OF THE COMMITTEE HAVE A GOOD UNDERSTANDING OF THE ORGANISATION'S FINANCES."	DATE
	There are no responses.	
#	COMMENTS FOR "THE COMMITTEE IS THE RIGHT SIZE AND SUFFICIENTLY DIVERSE."	DATE
1	IM membership is not particularly diverse - this is a wider issue not specific to ARAC	3/17/2020 5:11 PM
#	COMMENTS FOR "COMMITTEE MEMBERS COME TO MEETINGS PREPARED AND READY TO CONTRIBUTE."	DATE
	There are no responses.	
#	COMMENTS FOR "THERE IS CONSISTENT ATTENDANCE AND TIMELY ARRIVAL BY MEMBERS AT COMMITTEE MEETINGS."	DATE
	There are no responses.	
#	COMMENTS FOR "ATTENDANCE AT COMMITTEE MEETINGS IS EVALUATED AS A CRITERION FOR CONTINUED MEMBERSHIP ON THE COMMITTEE."	DATE
1	I imagine a poor attendance record would be addressed long before it became an issue which might lead to someone being removed from the committee	3/16/2020 9:31 PM

Q5 Internal Audit

Answered: 5 Skipped: 0

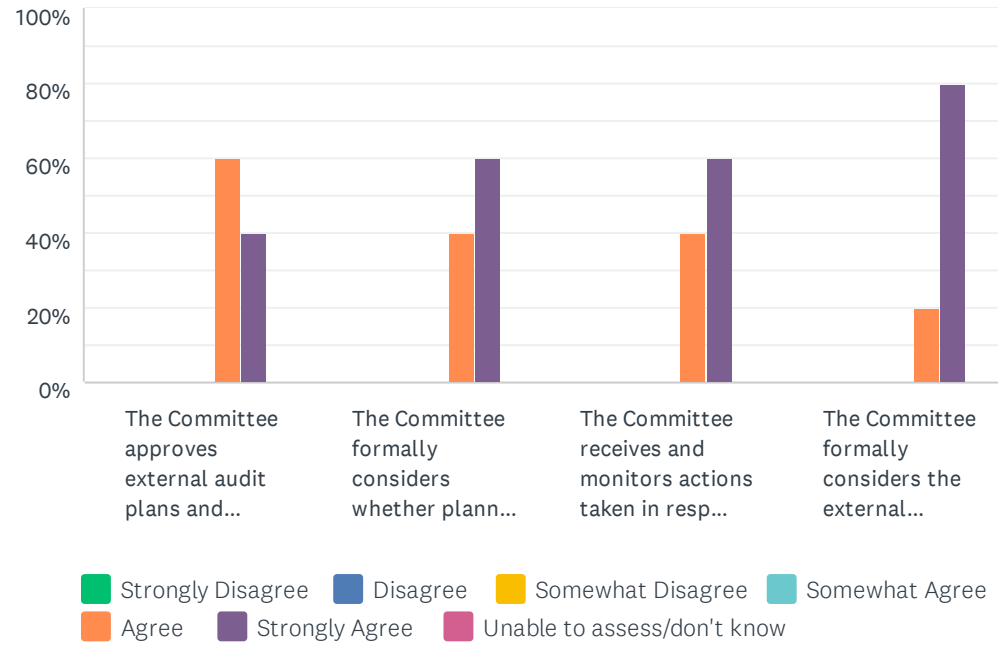


ARAC Members 2019/20

	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
The Committee reviews and approves the Internal Audit plan at the beginning of the financial year.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	20.00% 1	80.00% 4	0.00% 0	5	5.80
The Committee approves any material changes to the Internal Audit plan.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	40.00% 2	60.00% 3	0.00% 0	5	5.60
The Committee ensures that internal audit plans derive from clear processes based on risk assessment.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	60.00% 3	40.00% 2	0.00% 0	5	5.40
The Committee has established a process whereby it reviews any material objection to the Internal Audit plans and associated assignments that cannot be resolved through negotiation.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	60.00% 3	20.00% 1	20.00% 1	5	5.60
The Committee receives and reviews periodic reports from Internal Audit.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	0.00% 0	100.00% 5	0.00% 0	5	6.00
The Committee effectively monitors the implementation of management actions from internal audit reports.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	40.00% 2	60.00% 3	0.00% 0	5	5.60
The Committee receives the level of detail it wishes to receive from Internal Audit.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	80.00% 4	20.00% 1	0.00% 0	5	5.20
The extent to which Internal Audit work focuses on service specific issues is appropriate.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	100.00% 5	0.00% 0	0.00% 0	5	5.00
The Committee formally reviews the effectiveness of Internal Audit and the adequacy of staffing and resources within Internal Audit.	0.00% 0	0.00% 0	0.00% 0	40.00% 2	40.00% 2	20.00% 1	0.00% 0	5	4.80
The Committee has established and agreed a range of Internal Audit performance measures to be reported on a routine basis.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	80.00% 4	20.00% 1	0.00% 0	5	5.20

Q6 External Audit

Answered: 5 Skipped: 0

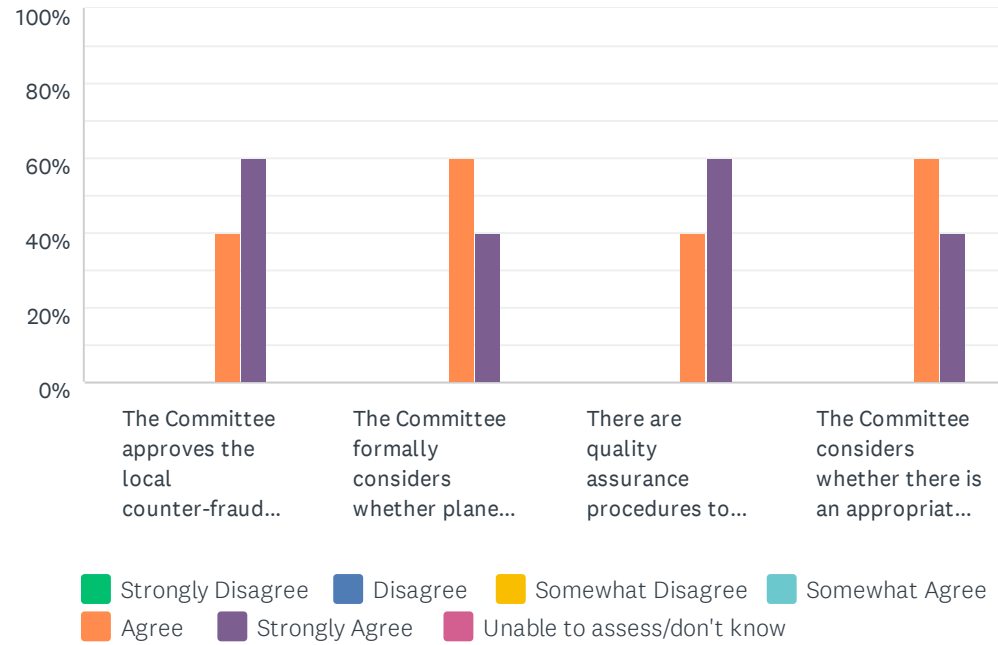


ARAC Members 2019/20

	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
The Committee approves external audit plans and strategy.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	60.00% 3	40.00% 2	0.00% 0	5	5.40
The Committee formally considers whether planned external audit work (other than that relating to the audit of financial statements) is adequate and appropriate.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	40.00% 2	60.00% 3	0.00% 0	5	5.60
The Committee receives and monitors actions taken in respect of previous years' external audit reviews.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	40.00% 2	60.00% 3	0.00% 0	5	5.60
The Committee formally considers the external auditor's annual audit report.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	20.00% 1	80.00% 4	0.00% 0	5	5.80

Q7 Counter Fraud and Post Payment Verification (PPV)

Answered: 5 Skipped: 0

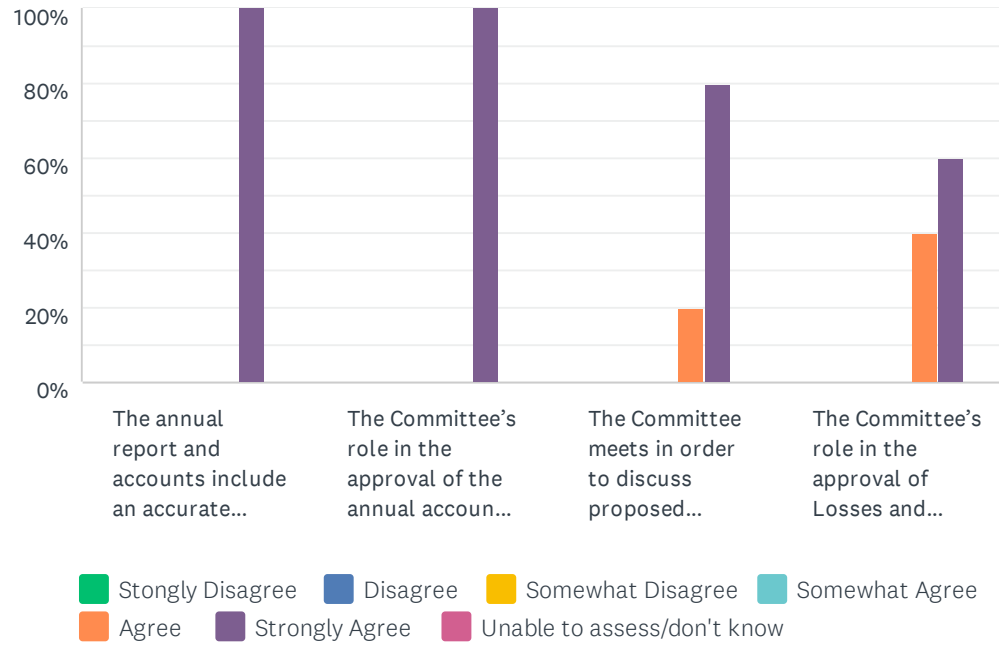


ARAC Members 2019/20

	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
The Committee approves the local counter-fraud strategy and counter-fraud plans.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	40.00% 2	60.00% 3	0.00% 0	5	5.60
The Committee formally considers whether planned local counter-fraud work covers the key fraud risks facing the organisation.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	60.00% 3	40.00% 2	0.00% 0	5	5.40
There are quality assurance procedures to confirm whether the work on PPV is properly managed.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	40.00% 2	60.00% 3	0.00% 0	5	5.60
The Committee considers whether there is an appropriate allocation of resources between proactive assurance work and reactive investigative work in the annual local counter-fraud plan.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	60.00% 3	40.00% 2	0.00% 0	5	5.40

Q8 Annual Accounts

Answered: 5 Skipped: 0

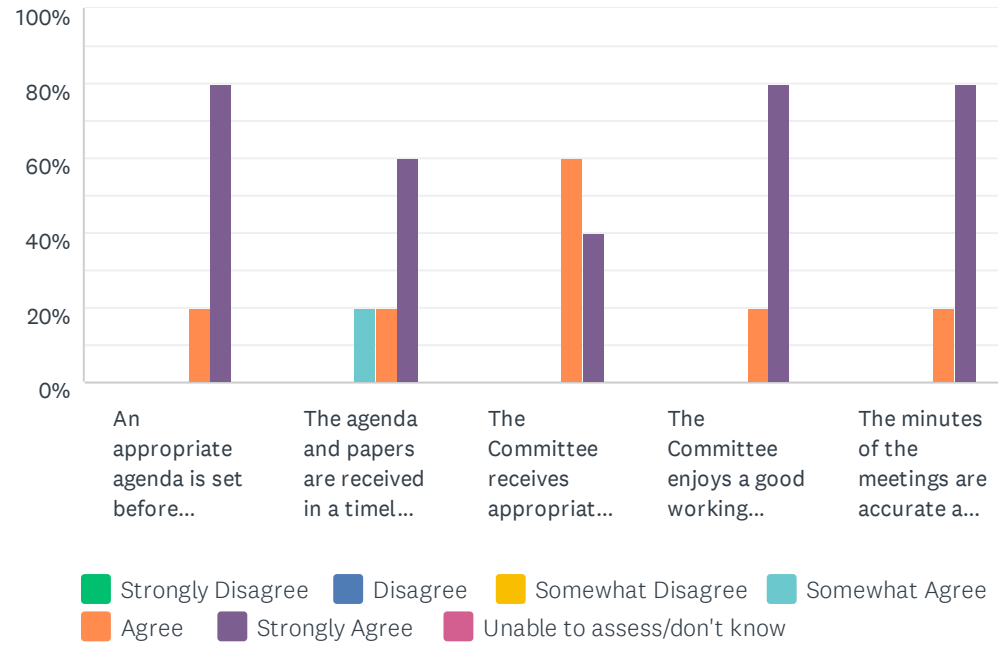


ARAC Members 2019/20

	STONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
The annual report and accounts include an accurate description of the Committee's establishment and activities.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	0.00% 0	100.00% 5	0.00% 0	5	6.00
The Committee's role in the approval of the annual accounts is clearly understood by Members of the Committee.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	0.00% 0	100.00% 5	0.00% 0	5	6.00
The Committee meets in order to discuss proposed adjustment to the accounts and issues arising from the audit.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	20.00% 1	80.00% 4	0.00% 0	5	5.80
The Committee's role in the approval of Losses and Special Payments is clearly understood by Members.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	40.00% 2	60.00% 3	0.00% 0	5	5.60

Q9 Support for the Committee

Answered: 5 Skipped: 0



ARAC Members 2019/20

	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
An appropriate agenda is set before Committee meetings and is followed.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	20.00% 1	80.00% 4	0.00% 0	5	5.80
The agenda and papers are received in a timely manner in advance of the meetings to allow time for appropriate review and preparation.	0.00% 0	0.00% 0	0.00% 0	20.00% 1	20.00% 1	60.00% 3	0.00% 0	5	5.40
The Committee receives appropriate advice from or via the Executive Team and staff.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	60.00% 3	40.00% 2	0.00% 0	5	5.40
The Committee enjoys a good working relationship with management and significant issues are reviewed with the Chief Executive or the relevant Lead Director.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	20.00% 1	80.00% 4	0.00% 0	5	5.80
The minutes of the meetings are accurate and reflect the discussion, next steps and/or action articulated by Members.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	20.00% 1	80.00% 4	0.00% 0	5	5.80

#	COMMENTS FOR "AN APPROPRIATE AGENDA IS SET BEFORE COMMITTEE MEETINGS AND IS FOLLOWED."	DATE
	There are no responses.	
#	COMMENTS FOR "THE AGENDA AND PAPERS ARE RECEIVED IN A TIMELY MANNER IN ADVANCE OF THE MEETINGS TO ALLOW TIME FOR APPROPRIATE REVIEW AND PREPARATION. "	DATE
1	Papers usually arrive in good time but sometimes are outside the agreed SLA	3/16/2020 9:31 PM
#	COMMENTS FOR "THE COMMITTEE RECEIVES APPROPRIATE ADVICE FROM OR VIA THE EXECUTIVE TEAM AND STAFF."	DATE
	There are no responses.	
#	COMMENTS FOR "THE COMMITTEE ENJOYS A GOOD WORKING RELATIONSHIP WITH MANAGEMENT AND SIGNIFICANT ISSUES ARE REVIEWED WITH THE CHIEF EXECUTIVE OR THE RELEVANT LEAD DIRECTOR."	DATE
	There are no responses.	
#	COMMENTS FOR "THE MINUTES OF THE MEETINGS ARE ACCURATE AND REFLECT THE DISCUSSION, NEXT STEPS AND/OR ACTION ARTICULATED BY MEMBERS."	DATE
	There are no responses.	

Q10 General Comments

Answered: 3 Skipped: 2

ANSWER CHOICES	RESPONSES
The Audit & Risk Assurance Committee's key successes in the past year were:	66.67% 2
The Audit & Risk Assurance Committee's major shortcomings in the past year were:	66.67% 2
What could be improved at the Committee's meetings, and how:	66.67% 2
What areas should the Audit & Risk Assurance Committee focus on in future:	66.67% 2
What areas would help you perform your Audit & Risk Assurance Committee role more effectively:	33.33% 1

#	THE AUDIT & RISK ASSURANCE COMMITTEE'S KEY SUCCESSES IN THE PAST YEAR WERE:	DATE
1	Robust challenge conducted in a respectful way. Use of the tracker to monitor completion of management responses to recommendations	3/17/2020 1:58 PM
2	Effective meetings and providing assurance to Board	3/16/2020 1:14 PM

#	THE AUDIT & RISK ASSURANCE COMMITTEE'S MAJOR SHORTCOMINGS IN THE PAST YEAR WERE:	DATE
1	The ongoing challenge of ensuring management responses are completed in timely manner. Improvement in management responses required to ensure they are SMART.	3/17/2020 1:58 PM
2	Not all of the management responses to Audit reports were of a high standard and therefore further follow up reports were required.	3/16/2020 1:14 PM

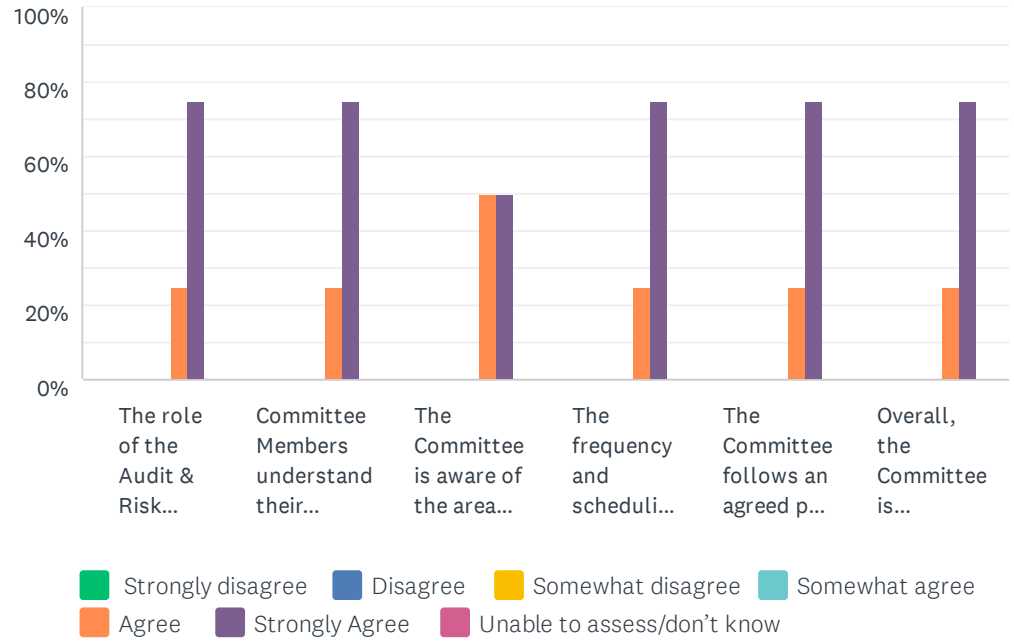
#	WHAT COULD BE IMPROVED AT THE COMMITTEE'S MEETINGS, AND HOW:	DATE
1	Managing the work flow to avoid agendas being overloaded with too many items e.g. deferred IA reports	3/17/2020 5:11 PM
2	Attendance of relevant managers to present management responses on all occasions	3/16/2020 1:14 PM

#	WHAT AREAS SHOULD THE AUDIT & RISK ASSURANCE COMMITTEE FOCUS ON IN FUTURE:	DATE
1	Greater focus on patient experience and clinical audit	3/17/2020 1:58 PM
2	terms of conditions and variable pay	3/16/2020 1:14 PM

#	WHAT AREAS WOULD HELP YOU PERFORM YOUR AUDIT & RISK ASSURANCE COMMITTEE ROLE MORE EFFECTIVELY:	DATE
1	More contact with the management team beneath executive director level to gain a better understanding of their strengths and weaknesses/management style.	3/17/2020 1:58 PM

Q1 The Role/ Purpose of the Committee

Answered: 4 Skipped: 0

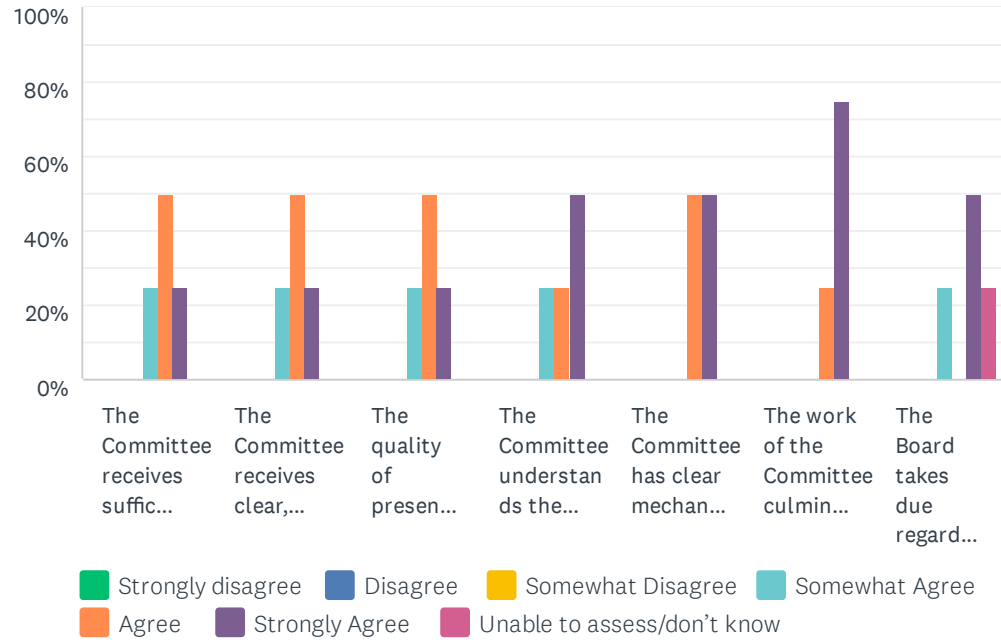


ARAC In-Attendance 2019/20

	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
The role of the Audit & Risk Assurance Committee is understood and clearly defined in its Terms of Reference.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
Committee Members understand their individual role and what is expected of them.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
The Committee is aware of the areas in which it can take decisions under the Health Board's Scheme of Delegation.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	50.00% 2	0.00% 0	4	5.50
The frequency and scheduling of Committee meetings are sufficient to carry out its functions and responsibilities.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
The Committee follows an agreed plan for the year's work.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
Overall, the Committee is effectively fulfilling its Terms of Reference.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75

Q2 Scope of work

Answered: 4 Skipped: 0

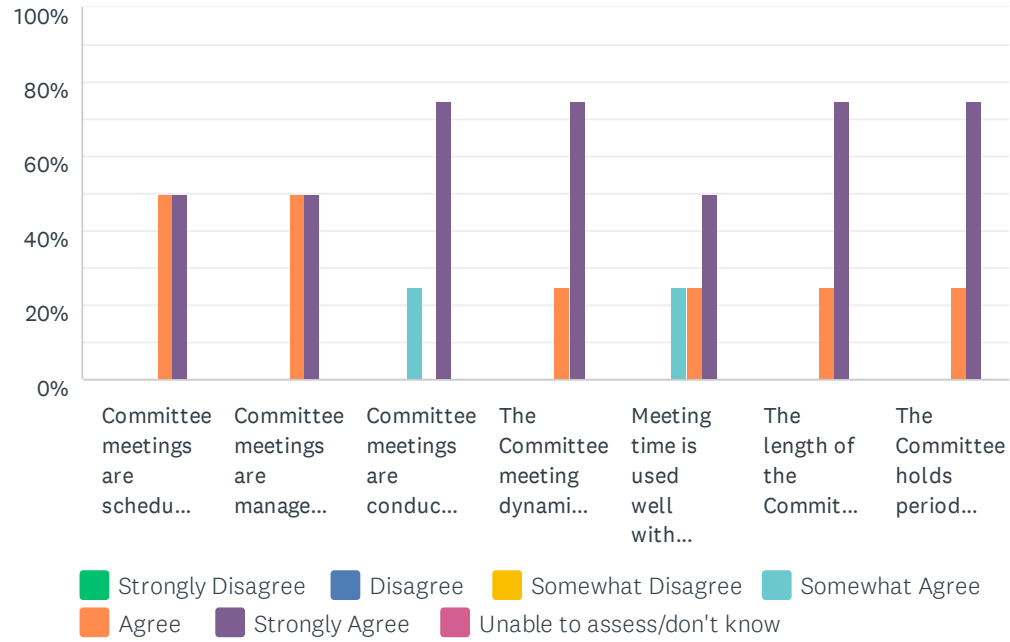


ARAC In-Attendance 2019/20

	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
The Committee receives sufficient and timely information to review, understand and assess the issues for discussion on which to base its decisions.	0.00% 0	0.00% 0	0.00% 0	25.00% 1	50.00% 2	25.00% 1	0.00% 0	4	5.00
The Committee receives clear, concise agendas and papers which focus on the key issues and priorities.	0.00% 0	0.00% 0	0.00% 0	25.00% 1	50.00% 2	25.00% 1	0.00% 0	4	5.00
The quality of presentations made to the Committee is appropriate.	0.00% 0	0.00% 0	0.00% 0	25.00% 1	50.00% 2	25.00% 1	0.00% 0	4	5.00
The Committee understands the issues which are on the horizon for the Health Board which may impact on its areas of work.	0.00% 0	0.00% 0	0.00% 0	25.00% 1	25.00% 1	50.00% 2	0.00% 0	4	5.25
The Committee has clear mechanisms in place to keep it aware of topical, legal and regulatory issues.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	50.00% 2	0.00% 0	4	5.50
The work of the Committee culminates in appropriate recommendations to the Board.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
The Board takes due regard of the recommendations from the Committee.	0.00% 0	0.00% 0	0.00% 0	25.00% 1	0.00% 0	50.00% 2	25.00% 1	4	5.75

Q3 Meetings

Answered: 4 Skipped: 0



ARAC In-Attendance 2019/20

	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
Committee meetings are scheduled with sufficient time to cover all agenda items, including discussion and answering questions.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	50.00% 2	0.00% 0	4	5.50
Committee meetings are managed and controlled effectively	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	50.00% 2	0.00% 0	4	5.50
Committee meetings are conducted in a business-like manner.	0.00% 0	0.00% 0	0.00% 0	25.00% 1	0.00% 0	75.00% 3	0.00% 0	4	5.50
The Committee meeting dynamic encourages full participation and open communications.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
Meeting time is used well with issues getting the time and attention proportionate to their importance.	0.00% 0	0.00% 0	0.00% 0	25.00% 1	25.00% 1	50.00% 2	0.00% 0	4	5.25
The length of the Committee's meetings is appropriate in relation to the agenda.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
The Committee holds periodic private discussions with Internal Audit, External Audit and Counter-Fraud.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75

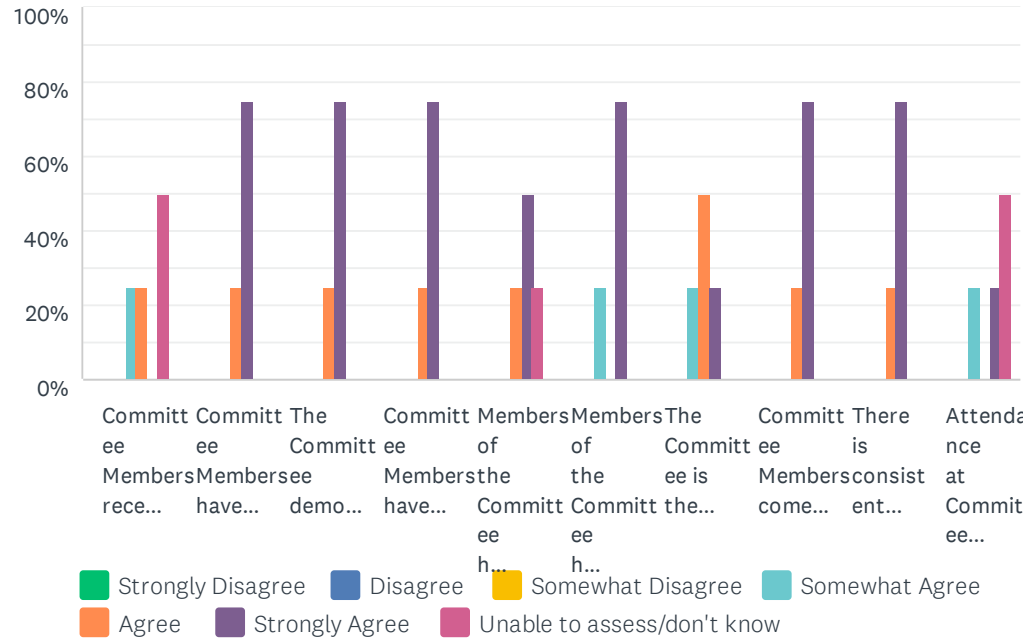
#	COMMENTS FOR "COMMITTEE MEETINGS ARE SCHEDULED WITH SUFFICIENT TIME TO COVER ALL AGENDA ITEMS, INCLUDING DISCUSSION AND ANSWERING QUESTIONS."	DATE
	There are no responses.	
#	COMMENTS FOR "COMMITTEE MEETINGS ARE MANAGED AND CONTROLLED EFFECTIVELY"	DATE
	There are no responses.	
#	COMMENTS FOR "COMMITTEE MEETINGS ARE CONDUCTED IN A BUSINESS-LIKE MANNER."	DATE
1	Some discussion has gone beyond the scope of the paper being considered	4/6/2020 10:31 AM
#	COMMENTS FOR "THE COMMITTEE MEETING DYNAMIC ENCOURAGES FULL PARTICIPATION AND OPEN COMMUNICATIONS."	DATE
	There are no responses.	

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#	COMMENTS FOR "MEETING TIME IS USED WELL WITH ISSUES GETTING THE TIME AND ATTENTION PROPORTIONATE TO THEIR IMPORTANCE."	DATE
1	Some lower risk papers have been subject to considerable scrutiny and debate.	4/6/2020 10:31 AM
#	COMMENTS FOR "THE LENGTH OF THE COMMITTEE'S MEETINGS IS APPROPRIATE IN RELATION TO THE AGENDA."	DATE
	There are no responses.	
#	COMMENTS FOR "THE COMMITTEE HOLDS PERIODIC PRIVATE DISCUSSIONS WITH INTERNAL AUDIT, EXTERNAL AUDIT AND COUNTER-FRAUD."	DATE
	There are no responses.	

Q4 Membership

Answered: 4 Skipped: 0

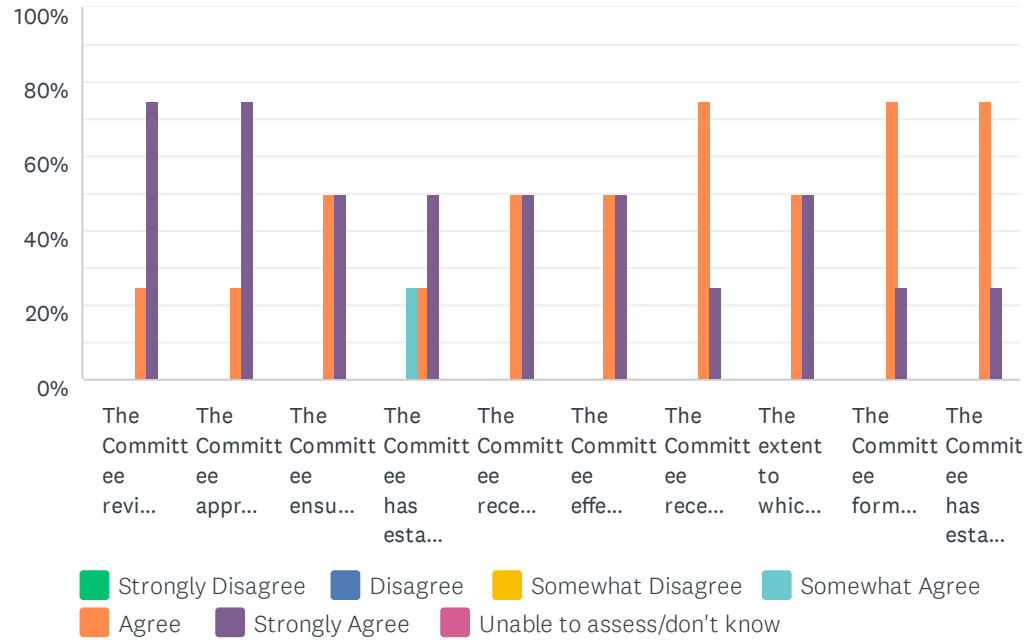


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	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
Committee Members receive induction and ongoing development.	0.00% 0	0.00% 0	0.00% 0	25.00% 1	25.00% 1	0.00% 0	50.00% 2	4	5.75
Committee Members have the collective skills and experience to fulfil its Terms of Reference.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
The Committee demonstrates in its actions that it operates independently of the management team.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
Committee Members have sufficient knowledge of the organisation to identify key risk areas and to provide challenge on critical and sensitive matters.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
Members of the Committee have a good understanding of the organisation's accounting policies and practices.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	50.00% 2	25.00% 1	4	6.00
Members of the Committee have a good understanding of the organisation's finances.	0.00% 0	0.00% 0	0.00% 0	25.00% 1	0.00% 0	75.00% 3	0.00% 0	4	5.50
The Committee is the right size and sufficiently diverse.	0.00% 0	0.00% 0	0.00% 0	25.00% 1	50.00% 2	25.00% 1	0.00% 0	4	5.00
Committee Members come to meetings prepared and ready to contribute.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
There is consistent attendance and timely arrival by Members at Committee meetings.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
Attendance at Committee meetings is evaluated as a criterion for continued membership on the Committee.	0.00% 0	0.00% 0	0.00% 0	25.00% 1	0.00% 0	25.00% 1	50.00% 2	4	6.00

Q5 Internal Audit

Answered: 4 Skipped: 0

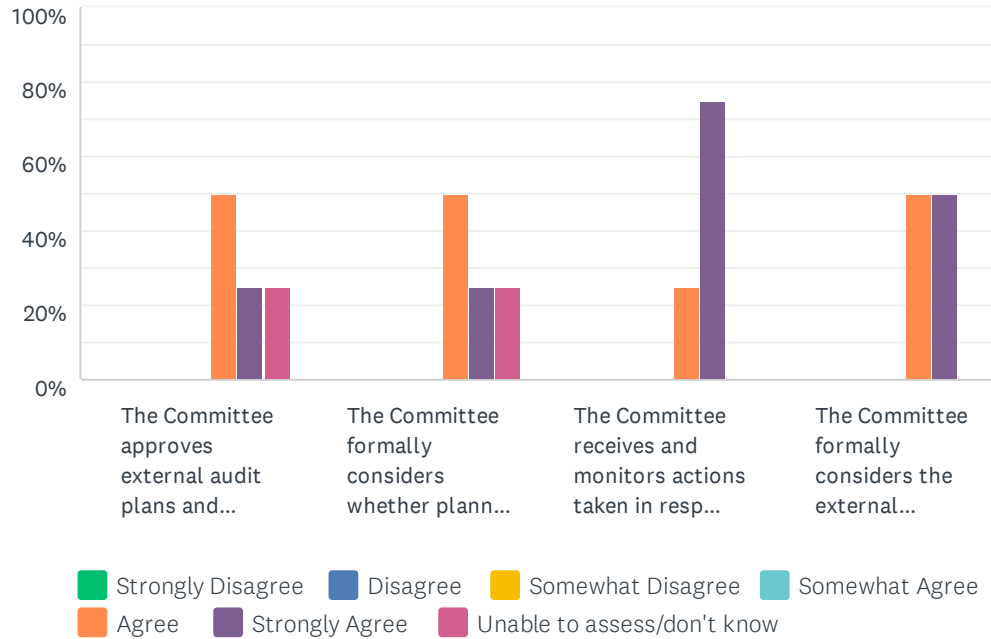


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	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
The Committee reviews and approves the Internal Audit plan at the beginning of the financial year.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
The Committee approves any material changes to the Internal Audit plan.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
The Committee ensures that internal audit plans derive from clear processes based on risk assessment.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	50.00% 2	0.00% 0	4	5.50
The Committee has established a process whereby it reviews any material objection to the Internal Audit plans and associated assignments that cannot be resolved through negotiation.	0.00% 0	0.00% 0	0.00% 0	25.00% 1	25.00% 1	50.00% 2	0.00% 0	4	5.25
The Committee receives and reviews periodic reports from Internal Audit.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	50.00% 2	0.00% 0	4	5.50
The Committee effectively monitors the implementation of management actions from internal audit reports.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	50.00% 2	0.00% 0	4	5.50
The Committee receives the level of detail it wishes to receive from Internal Audit.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	75.00% 3	25.00% 1	0.00% 0	4	5.25
The extent to which Internal Audit work focuses on service specific issues is appropriate.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	50.00% 2	0.00% 0	4	5.50
The Committee formally reviews the effectiveness of Internal Audit and the adequacy of staffing and resources within Internal Audit.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	75.00% 3	25.00% 1	0.00% 0	4	5.25
The Committee has established and agreed a range of Internal Audit performance measures to be reported on a routine basis.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	75.00% 3	25.00% 1	0.00% 0	4	5.25

Q6 External Audit

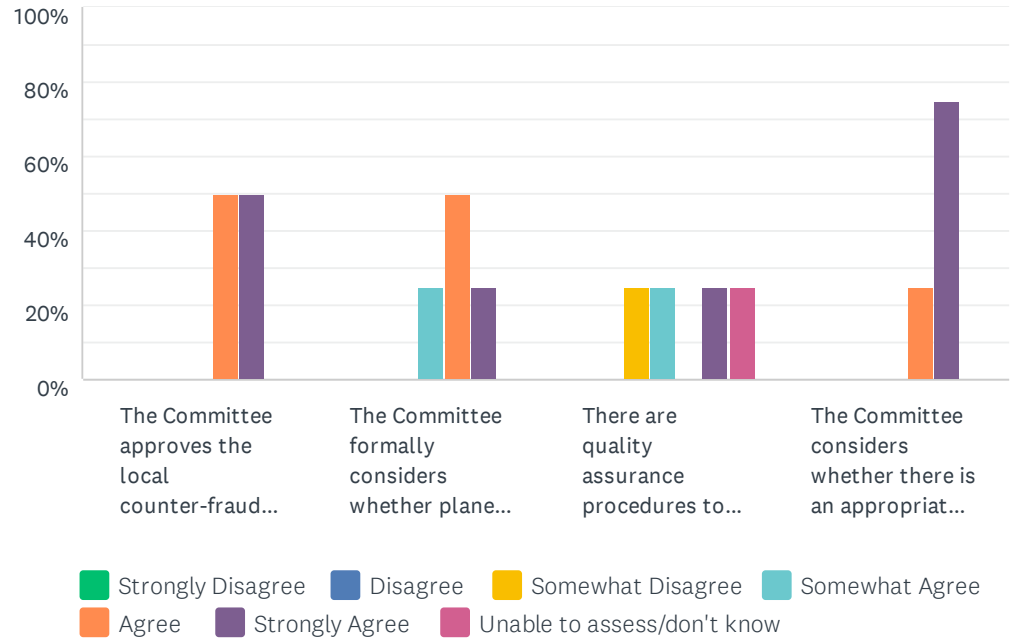
Answered: 4 Skipped: 0



	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
The Committee approves external audit plans and strategy.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	25.00% 1	25.00% 1	4	5.75
The Committee formally considers whether planned external audit work (other than that relating to the audit of financial statements) is adequate and appropriate.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	25.00% 1	25.00% 1	4	5.75
The Committee receives and monitors actions taken in respect of previous years' external audit reviews.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
The Committee formally considers the external auditor's annual audit report.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	50.00% 2	0.00% 0	4	5.50

Q7 Counter Fraud and Post Payment Verification (PPV)

Answered: 4 Skipped: 0

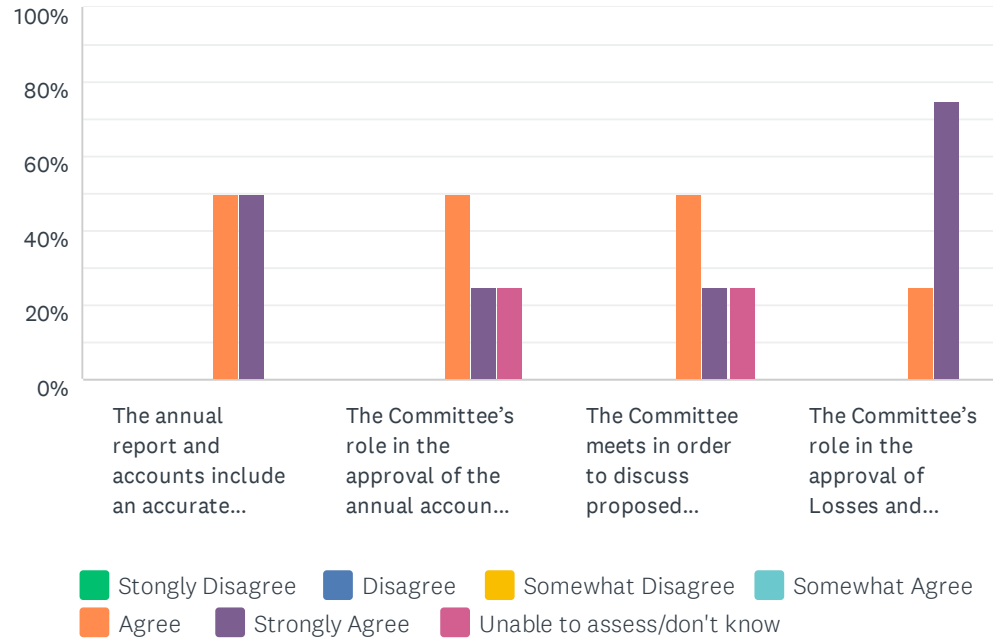


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	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
The Committee approves the local counter-fraud strategy and counter-fraud plans.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	50.00% 2	0.00% 0	4	5.50
The Committee formally considers whether planned local counter-fraud work covers the key fraud risks facing the organisation.	0.00% 0	0.00% 0	0.00% 0	25.00% 1	50.00% 2	25.00% 1	0.00% 0	4	5.00
There are quality assurance procedures to confirm whether the work on PPV is properly managed.	0.00% 0	0.00% 0	25.00% 1	25.00% 1	0.00% 0	25.00% 1	25.00% 1	4	5.00
The Committee considers whether there is an appropriate allocation of resources between proactive assurance work and reactive investigative work in the annual local counter-fraud plan.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75

Q8 Annual Accounts

Answered: 4 Skipped: 0

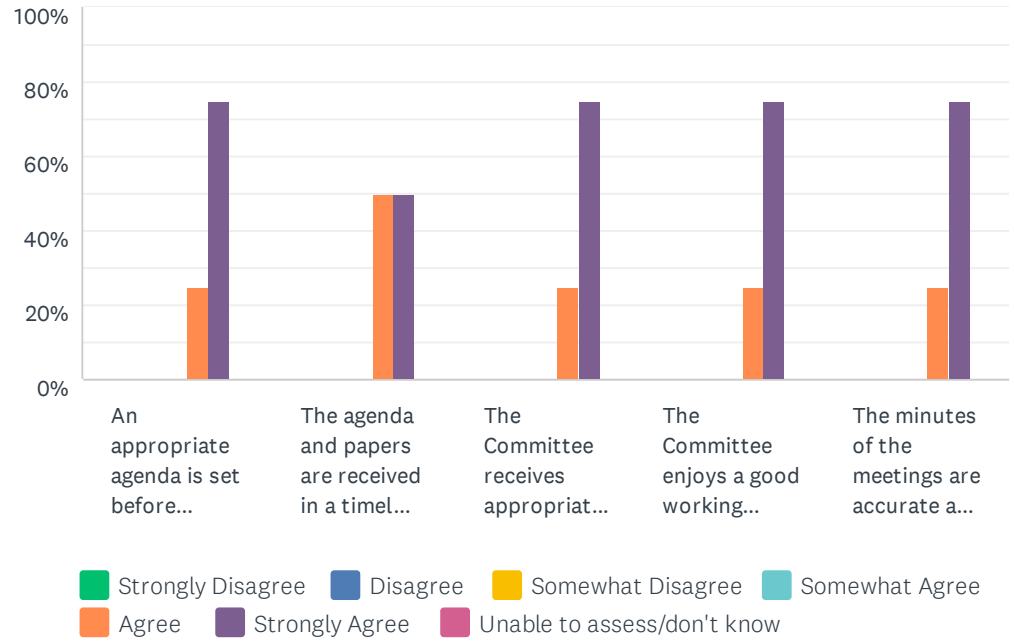


ARAC In-Attendance 2019/20

	STONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
The annual report and accounts include an accurate description of the Committee's establishment and activities.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	50.00% 2	0.00% 0	4	5.50
The Committee's role in the approval of the annual accounts is clearly understood by Members of the Committee.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	25.00% 1	25.00% 1	4	5.75
The Committee meets in order to discuss proposed adjustment to the accounts and issues arising from the audit.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	25.00% 1	25.00% 1	4	5.75
The Committee's role in the approval of Losses and Special Payments is clearly understood by Members.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75

Q9 Support for the Committee

Answered: 4 Skipped: 0



ARAC In-Attendance 2019/20

	STRONGLY DISAGREE	DISAGREE	SOMEWHAT DISAGREE	SOMEWHAT AGREE	AGREE	STRONGLY AGREE	UNABLE TO ASSESS/DON'T KNOW	TOTAL	WEIGHTED AVERAGE
An appropriate agenda is set before Committee meetings and is followed.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
The agenda and papers are received in a timely manner in advance of the meetings to allow time for appropriate review and preparation.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	50.00% 2	50.00% 2	0.00% 0	4	5.50
The Committee receives appropriate advice from or via the Executive Team and staff.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
The Committee enjoys a good working relationship with management and significant issues are reviewed with the Chief Executive or the relevant Lead Director.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75
The minutes of the meetings are accurate and reflect the discussion, next steps and/or action articulated by Members.	0.00% 0	0.00% 0	0.00% 0	0.00% 0	25.00% 1	75.00% 3	0.00% 0	4	5.75

Q10 General Comments

Answered: 0 Skipped: 4

ANSWER CHOICES	RESPONSES	
The Audit & Risk Assurance Committee's key successes in the past year were:	0.00%	0
The Audit & Risk Assurance Committee's major shortcomings in the past year were:	0.00%	0
What could be improved at the Committee's meetings, and how:	0.00%	0
What areas should the Audit & Risk Assurance Committee focus on in future:	0.00%	0
What areas would help you perform your Audit & Risk Assurance Committee role more effectively:	0.00%	0

#	THE AUDIT & RISK ASSURANCE COMMITTEE'S KEY SUCCESSSES IN THE PAST YEAR WERE:	DATE
	There are no responses.	
#	THE AUDIT & RISK ASSURANCE COMMITTEE'S MAJOR SHORTCOMINGS IN THE PAST YEAR WERE:	DATE
	There are no responses.	
#	WHAT COULD BE IMPROVED AT THE COMMITTEE'S MEETINGS, AND HOW:	DATE
	There are no responses.	
#	WHAT AREAS SHOULD THE AUDIT & RISK ASSURANCE COMMITTEE FOCUS ON IN FUTURE:	DATE
	There are no responses.	
#	WHAT AREAS WOULD HELP YOU PERFORM YOUR AUDIT & RISK ASSURANCE COMMITTEE ROLE MORE EFFECTIVELY:	DATE
	There are no responses.	