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CYMRU
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WALES

Bwrdd Iechyd Prifysgol
Abertawe Bro Morgannwg
University Health Board



Meeting Date	20th September 2018	Agenda Item		
Report Title	Audit Committee self-assessment			
Report Author	Liz Stauber, Committee Services Manager			
Report Sponsor	Pam Wenger, Director of Corporate Governance			
Presented by	Pam Wenger, Director of Corporate Governance			
Freedom of Information	Open			
Purpose of the Report	The purpose of the report is to inform the committee of the process for the annual self-assessment.			
Key Issues	<p>Traditionally the self-assessment is undertaken at the end of each financial year to determine committee members' opinions as its effectiveness during the year.</p> <p>However, due to the significant changes to the board during 2018, both to executive directors and independent members, the self-assessment for 2017-18 was postponed for six months to enable those new to the committee to understand the role.</p>			
Specific Action Required <i>(please ✓ one only)</i>	Information	Discussion	Assurance	Approval
	✓			
Recommendations	<p>Members are asked to:</p> <ul style="list-style-type: none"> • Note the report. 			

Audit Committee Self-Assessment

1. INTRODUCTION

The purpose of the report is to inform the committee of the process for the annual self-assessment.

2. BACKGROUND

All board members are being asked to complete a self-assessment for each committee of which they are a member to determine its effectiveness and ability to discharge its role. The outcome enables training and development to be considered, in addition to changes to processes and procedures.

3. GOVERNANCE AND RISK ISSUES

Traditionally the self-assessment is undertaken at the end of each financial year to determine committee members' opinions as its effectiveness during the year.

However, due to the significant changes to the board during 2018, both to executive directors and independent members, the self-assessment for 2017-18 was postponed for six months to enable those new to the committee to understand the role.

The generic survey (**appendix 1**) has been uploaded to Diligent and will be available to executive directors and independent members until 4th October to complete. After this time, internal audit colleagues will collate the responses into charts for consideration and discussion at the November Audit Committee.

4. FINANCIAL IMPLICATIONS

There are no financial implications to note.

5. RECOMMENDATION

Members are asked to:

- **Note** the report.

Governance and Assurance							
Link to corporate objectives <i>(please ✓)</i>	Promoting and enabling healthier communities		Delivering excellent patient outcomes, experience and access	Demonstrating value and sustainability	Securing a fully engaged skilled workforce	Embedding effective governance and partnerships	
						✓	
Link to Health and Care Standards <i>(please ✓)</i>	Staying Healthy	Safe Care	Effective Care	Dignified Care	Timely Care	Individual Care	Staff and Resources
			✓				
Quality, Safety and Patient Experience							
Ensuring the board committee structure is an effective part of the governance arrangements is key to quality, safety and patient experience.							
Financial Implications							
There are no financial implications.							
Legal Implications (including equality and diversity assessment)							
There are no legal implications.							
Staffing Implications							
There are no staffing implications.							
Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015 - https://futuregenerations.wales/about-us/future-generations-act/)							
Ensuring the board committee structure is an effective part of the governance arrangements aligns with the health board's long-term future.							
Report History	The self-assessment is an annual process.						
Appendices	Appendix one – the self-assessment survey.						

Audit Committee: SELF-ASSESSMENT CHECKLIST

	Issue	Yes	No	Partly	Don't know	Comments / Action
1	Does the Committee have terms of reference adopted by the Board, which are reviewed annually to take into account governance developments (including good governance principles) and the remit of other committees within the organisation?					
2	Does the Committee have adequate administrative support and sufficient membership, authority and resources to perform its role effectively and independently?					
3	Are changes to the Committee's current and future workload discussed and approved at Board level?					
4	Are Committee members independent of the management team?					
5	Are new members provided with adequate induction & ongoing training?					
6	Are members confident they have sufficient knowledge of the organisation's business to identify key risk areas and to challenge line management on critical and sensitive matters?					
7	Does the Committee assess its own effectiveness periodically?					
8	Has the Committee established a plan of matters to be dealt with across the year?					
9	Does the Committee meet sufficiently frequently to deal with planned matters, and is enough time allowed for questions and discussions?					
10	Are Committee papers distributed in sufficient time for members to give them due consideration?					

	Issue	Yes	No	Partly	Don't know	Comments / Action
11	Are Committee meetings scheduled prior to important decisions being made?					
12	Is the timing of Committee meetings discussed with all the parties involved?					
13	Has the Committee reviewed whether the reports it receives are timely and have the right format and content to enable it to discharge responsibilities?					
14	Has the Committee reviewed the robustness of the data behind reports and assurances received by itself and the Board?					
15	Has the Committee reviewed its performance in the year for consistency with its: <ul style="list-style-type: none"> • Terms of reference? • Programme for the year? 					
16	The Committee prepares an annual report on its work and performance in the preceding year for consideration by the Board.					
17	Does the Annual Report and Accounts of the organisation include a description of the Committee's establishment and activities?					

Please note below any areas where you feel the Committee does not function effectively or where you feel improvement could be made: