

## NSW Health Audit & Risk Management Committee Self Assessment Checklist

(Trim H12/47148-1)

Please rate the extent of your agreement or disagreement with the following statements.

1 – YES	2 – NO
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Please comment if you believe the Committee's performance can be improved.

<b>Organisation Name:</b>	NSW Ambulance		
<b>Date:</b>			
<b>Prepared By:</b>	<b>Name:</b>	Maria Pethard	
	<b>Title:</b>	Chair, Risk and Audit Governance Committee	

Charter		Comment	Assessment	
			YES	NO
1	A written Charter is maintained for the Audit & Risk Management Committee which is reviewed annually.		1	
2	The Committee knows and understands its role and responsibilities.		1	
3	The Committee has the appropriate authorities and delegations to perform its functions.		1	
4	Committee Charter includes the provision that the Chair of the Audit & Risk Management Committee has access to the Director-General.		1	
<b>TOTAL ASSESSMENT</b>			4	

Membership		Comment	Assessment	
			YES	NO
5	The Committee is Chaired by an independent member.		1	
6	The Committee comprises of at least three members, two of whom are independent members.		1	
7	The experience and qualifications of committee members and size of the committee is appropriate, in relation to the organisation's culture and business.		1	
8	Independent Members are appointed to the Committee for a fixed term, which may be renewed.		1	

9	Appropriate background checks of independent members are performed before they are appointed.		1	
10	New committee members are provided with an appropriate level of training and information on their role and responsibilities and the organisations operations.		1	
11	Committee members maintain an understanding of the organisations operating environment ie. The organisation's operations, business risks, financial reporting process, internal control structure, etc.		1	
		<b>TOTAL ASSESSMENT</b>	7	

Meetings		Comment	Assessment	
			YES	NO
12	The committee meets, at least four times a year, with special meetings called as circumstances warrant.		1	
13	Senior management and external and internal auditors are invited to attend meetings as necessary.		1	
14	The Committee deals effectively with issues pertaining to: <ul style="list-style-type: none"> <li>• Corporate Governance</li> <li>• Statutory Financial Reporting</li> <li>• Operational Financial Reporting</li> <li>• Operational Risk</li> <li>• Compliance Risk</li> </ul>		1	
15	Written meeting agendas are prepared and all proceedings are minuted with an emphasis on capturing decisions and resolutions.		1	
16	Meeting business papers are circulated prior to the committee meetings.		1	
17	The committee has adequate resources to discharge its responsibilities, ie. Administrative support, etc.		1	
18	The committee discusses with management and external audit the substance of any significant issues raised, ie litigation, contingencies, etc.		1	

	Comment	Assessment	
		YES	NO
19	The committee has appropriate procedures to ensure that open or outstanding items are resolved in a timely manner.	1	
	<b>TOTAL ASSESSMENT</b>	8	

Committee Responsibilities	Comment	Assessment	
		YES	NO
20	The Committee reports its activities to senior management on a regular basis.	1	
21	The Committee should review interim financial results, pro forma annual financial statements and annual financial statements prior to Chief Executive approval.	1	
22	The Committee reviews and approves the annual Internal Audit work program.	1	
23	The Committee ensures the objectivity of the internal audit team.	1	
24	The Committee reviews the internal audit activity output.	1	
	<b>TOTAL ASSESSMENT</b>	5	

Relationships	Comment	Assessment	
		YES	NO
25	The Committee provides constructive feedback to the chief audit executive on a regular basis.	1	
26	The Chair of the Committee meets on a regular basis with the chief audit executive outside of the committee.		2
27	The Chief Audit Executive has direct unrestricted access to the Committee.	1	
28	The Committee has a positive working relationship with management and the internal and external audit functions.	1	
	<b>TOTAL ASSESSMENT</b>	3	2
	<b>AGGREGATED ASSESSMENT</b>	27	2

On completion, please forward the completed Checklist to the Corporate Governance & Risk Management Unit, Ministry of Health.

*Al Pelton*  
9/7/14