

**Council of Governors:** 18.1.2018  
**Agenda Item:** CGo.1.18.11

## Chairman's Appraisal Process 2017

<b>Presented by:</b>	Pauline Vickers, Senior Independent Director	<b>Author:</b>	Jacqui Maurice, Head of Corporate Governance
<b>Previously considered by:</b>	Nominations and Remuneration Committee (NRC), 8 December 2017		

Key point	Purpose:
The Chairman's Appraisal has taken place in line with the Chair Appraisal Process approved by the Council of Governors on 20 April 2017.	To note and gain assurance

Executive Summary:
<ol style="list-style-type: none"> <li>At the Council of Governors meeting held 20 April 2017, the Governors approved the Appraisal Process to be used for the Chairman.</li> <li>Pauline Vickers, Senior Independent Director conducted the Chairman's appraisal on 10 November 2017.</li> <li>The annual review of the 'Fit and Proper Persons' self-declaration for the Chairman has been completed with the declarations checked and signed off by the Senior Independent Director.</li> <li>In undertaking the appraisal, the Senior Independent Director sought views from the;           <ul style="list-style-type: none"> <li>- Chief Executive</li> <li>- Executive Directors</li> <li>- Non-Executive Directors</li> <li>- Council of Governors</li> </ul> </li> <li>The Chairman's appraisal covered a review of duties; areas of focus; time commitment and; the setting of SMART objectives.</li> <li>The outcomes from the Chairman's appraisal have been fully documented.</li> <li>The Senior Independent Director discussed the report with the NRC on 8 December 2017. The NRC noted and gained assurance from the report.</li> <li>The Council of Governors is asked to note and gain assurance from the report.</li> </ol>

Financial implications:
No

Regulatory relevance:
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Council of Governors: 18.1.2018  
 Agenda Item: CGo.1.18.11

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<b>Monitor:</b>	Code of Governance
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<b>Equality Impact / Implications:</b>	<p><b>Is there likely to be any impact on any of the protected characteristics?</b>          (Age, Disability, Gender, Gender Reassignment, Pregnancy and Maternity, Race, Religion or Belief, Sexual Orientation, Health Inequalities, Human Rights)</p> <p>Yes   <input type="checkbox"/>                      No   <input checked="" type="checkbox"/></p> <p>If yes, what is the mitigation against this?</p>
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<b>Other:</b>	
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<b>Strategic Objective:</b>	To provide outstanding care for patients
<i>Reference to Strategic Objective(s) this paper relates to</i>	To deliver our financial plan and key performance targets
	To be in the top 20% of NHS employers
	To be a continually learning organisation
	To collaborate effectively with local and regional partners

Council of Governors: 18.1.2018  
 Agenda Item: CGo.1.18.11

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## Chairman's Appraisal 2017

### 1. Introduction

The Council of Governors has a statutory responsibility and a pivotal part to play in ensuring that the performance of the Chairman is effective and is making an important contribution to the leadership of the Foundation Trust.

The Chairman's Appraisal Process is designed to:

- a) Ensure good governance standards are adhered to and encourage personal development.
- b) Evaluate individual performance and contributions.
- c) Set clear expectations.
- d) Form an integral part of improved induction, training and development support for the Chairman.
- e) Provide reassurance to the Council of Governors that the performance of the Chairman is the subject of an annual appraisal.

At the Council of Governors meeting held 20 April 2017, the Governors approved the appraisal process to be used for the Chairman.

### 2. Appraisal and 'Fit and Proper Persons' (FPP) checks

The Senior Independent Director conducted the Chairman's appraisal on 10 November 2017. Prior to appraisal, the Chairman was provided with a copy of the appraisal pro-forma and objectives pro-forma to support him in considering and preparing for his appraisal.

The annual review of the 'Fit and Proper Persons' self-declaration for the Chairman was completed on 14 September 2017. The declaration was checked and signed off by the Senior Independent Director.

### 3. Feedback received that has informed the Chairman's Appraisal

- 3.1 The Senior Independent Director met with the Chief Executive, Non-Executive Directors, Lead Governor and Vice-Chair of the Council of Governors on the dates specified in the table below to receive feedback to inform the Chairman's appraisal.

Sessions held with SID to inform the Chairman's appraisal	Date
Chief Executive ( <i>session incorporated feedback from the Executive Directors</i> )	30 August 2017
Non-Executive Directors	14 September 2017
Lead Governor and Vice Chair of the Council of Governors	14 September 2017

Prior to the meeting held with the Lead Governor and the Vice-Chair of the Council of Governors; a questionnaire requesting feedback was circulated to all Governors in line with the schedule detailed below.

**Council of Governors: 18.1.2018**

**Agenda Item: CGo.1.18.11**

<b>Governors' feedback to support the Chairman's appraisal</b>	<b>Date</b>
Circulation of Governors Questionnaire	21 August 2017
Deadline for return of completed questionnaire by Governors Questionnaire	4 September 2017
Review of collated report by the Vice-Chair of the Council of Governors and the Lead Governor.	7 September 2017

The responses received from Governors were collated and reviewed by the Lead Governor and the Vice-Chair of the Council of Governors. The outcomes were shared with the Senior Independent Director at the meeting held on 14 September 2017. The Senior Independent Director received a copy of the collated feedback report from the Council of Governors.

3.2 No Director or Governor requested to speak with the Senior Independent Director individually.

#### **4. Setting of objectives and review of duties, areas of focus and time commitment**

4.1 The appraisal included a focus on the Chairman's contributions and performance in the following categories.

- a) Current time commitment
- b) Strategic direction and objective setting
- c) Support, challenge and holding to account
- d) Sub-committees and special responsibilities
- e) Governance and performance improvement
- f) Partnerships, patient and community focus
- g) Involvement/activities to be developed further (strengths and aspirations), learning and development needs and, objectives for the coming year
- h) Future time commitment

4.2 The outcomes from the Well-Led Review have informed the appraisal and the setting of objectives. All objectives set are SMART (specific, measureable, achievable, realistic, and timely).

#### **5. Documentation related to the Chairman's appraisal.**

The outcomes from the Chairman's appraisal have been fully documented.

#### **6. Conclusion**

The Council of Governors is asked to note and gain assurance that the Chairman's Annual Appraisal has been carried out and, that annual objectives have been set for the Chairman.