

Council of Governors: 16/10/18  
Agenda Item: CGo. 10.18.11

## Non-Executive Director (NED) Appraisals 2018

<b>Presented by:</b>	Professor Bill McCarthy, Chairman	<b>Author:</b>	Jacqui Maurice, Head of Corporate Governance
<b>Previously considered by:</b>	Governors Nominations and Remuneration Committee		

<b>Key point</b>	<b>Purpose:</b>
NED Appraisals have taken place in line with the Appraisals Process approved by the Council of Governors on 19 April 2018.	To note and gain assurance

<b>Executive Summary:</b>
<p>At the Council of Governors meeting held 19 April 2018, the Governors approved the Appraisal Process to be used for the NEDs.</p> <p>Prior to appraisal, all NEDs were provided with a copy of the appraisals pro-forma and objectives pro-forma to support them in preparing for their appraisal.</p> <p>Feedback from Executive Directors and Governors was used to inform each NED appraisal.</p> <p>All NED appraisals took place during May and June 2018.</p> <p>Each NED has completed their annual 'Fit and Proper Persons' self-declaration.</p> <p>The NRC discussed the report at the NRC meeting held on 14 September 2018.</p> <p>The Council of Governors is asked to note and gain assurance from the report.</p>

<b>Financial implications:</b>
No

<b>Regulatory relevance:</b>
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<b>Monitor:</b>	Code of Governance
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<b>Equality Impact / Implications:</b>	<div style="border: 1px solid black; padding: 10px;"> <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> </div>
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<b>Other:</b>	
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<b>Strategic Objective:</b>  <i>Reference to Strategic Objective(s) this paper relates to</i>	To provide outstanding care for patients
	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

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## Non-Executive Director (NED) Appraisals 2018

### 1. Introduction

The Council of Governors has a statutory responsibility and a pivotal part to play in ensuring that the performance of the Non-Executives is effective and that they are making an important contribution to the leadership of the Trust.

The 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 NEDs.
- e. Provide reassurance to the Council of Governors that the performance of each NED is the subject of an annual appraisal.

At the Council of Governors meeting held 19 April 2018, the Governors approved the appraisal process to be used for the NEDs.

### 2. Appraisals and 'Fit and Proper Persons' (FPP) requirements

Prior to appraisal, all NEDs were provided with a copy of the appraisals pro-forma and objectives pro-forma to support them in considering and preparing for their appraisal. Appraisals have been undertaken with NEDs on the dates specified in the table below.

Non-Executive Director	Date of Appraisal
Dr Trevor Higgins	10 May 2018
Professor Laura Stroud	24 May 2018
Mrs Selena Ullah	24 May 2018
Mr Amjad Pervez	31 May 2018
Mrs Pauline Vickers	1 June 2018
Mr Barrie Senior	1 June 2018
Mr Jon Prashar	14 June 2018
Mrs Trudy Fester-Gee	20 June 2018

All NEDs have completed their annual self-declaration with regard to the Fit and Proper Person's Requirements.

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### **3. Feedback received that has informed each NED Appraisal**

- The Chief Executive has provided feedback on behalf of the Executive Directors to inform the NED appraisals.
- Non-Executive Director colleagues have provided 360 degree feedback via a questionnaire.
- Governors were invited to provide feedback via a questionnaire to support each NED appraisal.

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

Common high-level objectives have been set for the coming year with each NED. The objectives cover:

- a. Contributions to the formulation of strategy and holding the executive to account for the delivery of strategy
- b. Gaining assurance regarding finance, quality and performance
- c. Shaping organisational culture
- d. Ensuring that the Board acts in the best interests of the public
- e. Gaining assurance regarding finance, quality and performance
- f. Shaping organisational culture
- g. Ensuring that the Board acts in the best interests of the public

The NRC is asked to note that the common high-level NED objectives may be refreshed following the outcome of the Board Committee Review on 4 October 2018.

A number of individually tailored objectives related to their individual additional duties/areas of focus have also been agreed with each NED.

The appraisal for each NED has also included a focus on:

- a. Committee roles
- b. Special responsibilities held
- c. Current time commitment
- d. Involvement/activities to be developed further (strengths and aspirations), learning and development needs
- e. Future time commitment

### **5. Appraisal Outcomes**

The outcomes from each NED appraisal have been documented.

### **6. Conclusion**

The Council of Governors is asked to note all NED appraisals have been carried out in line with the process agreed with the Council of Governors in April 2018.