

Meeting Title	Council of Governors		
Date	15 April 2021	Agenda item	CGo.4.21.15

Appraisal Process: Chair/NED 2021

Presented by	Laura Parsons, Associate Director of Corporate Governance/Board Secretary		
Author	Laura Parsons, Associate Director of Corporate Governance/Board Secretary		
Governance responsibility	Council of Governors		
Purpose of the paper	To present the proposed Chair & NED appraisal process for 2021 for approval.		
Action required	For approval		
Previously discussed at/informed by	NHSE/I Chair appraisal process		
Previously approved at:	Committee/Group	Date	
	Governors Nominations and Remuneration Committee	9 March 2021	

Background

The Chair and Non-Executive Director (NED) appraisal processes

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

The appraisal process is designed to:

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

The appraisal processes for the Chair and the NEDs are required to be reviewed and approved annually by the Council of Governors. The processes were last reviewed by the NRC in March 2020. Due to the impact of COVID-19, the NRC and the Council agreed that the processes approved by the Council in May 2019 (with the exception of the non-executive director peer review) would apply to 2020.

Outcomes from the Chairperson and Non-Executive Director appraisal processes 2020

The appraisals for the NEDs were carried out in line with the approved process during 2019.

The report from the Chair on the outcome of the NED appraisals was presented to the NRC for review on 8 September 2020. The Council of Governors received and gained assurance from the report on 15 October 2020.

The report from the Senior Independent Director on the outcome of the appraisal of the Chair was presented to the NRC on 1 December 2020. The Council of Governors received and gained assurance from the report presented on 21 January 2021.

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Chair and NED appraisal processes 2021

The processes have been reviewed, and have been amended to include a documented personal development plan (PDP), as requested by the Director of HR, in support of the Fit and Proper Person test. The template for the PDP has been taken from the NHSE/I chair appraisal framework. The Chair process has also been amended to reflect the requirement to submit the appraisal to NHSE/I, and also to seek feedback from the NHSE/I Regional Director as part of the process.

The NHSE/I chair appraisal framework states that appraisals should be undertaken during the first quarter of the financial year, therefore it is recommended that the outcome of both the Chair and NED appraisals is reported to the NRC on 15 June 2021, and to the Council on 15 July 2021.

- The Chair appraisal process is attached at Appendix A.
- The NED appraisal process is attached at Appendix B.

NRC Review

The NRC considered a proposal to adopt the Chair and NED appraisal processes attached at Appendix A and Appendix B at their meeting held on 9 March 2021. They reviewed in detail the content and agreed that it should be presented to the Council of Governors for approval.

Recommendation/s

The Council of Governors is asked to approve the Chair and NED appraisal processes for 2021.