

## Appendix A

### Chair appraisal process

1. Annually the SID will lead the process in line with guidance in the Foundation Trust Code of Governance.
2. The role of the Chair of a Foundation Trust covers the following:

<b>Formulate Strategy</b>	Ensures the Board develops vision, strategies and clear objectives to deliver organisational purpose.
<b>Ensure Accountability</b>	Holds CEO to account for delivery of strategy. Ensures Board committees that support accountability are properly constituted.
<b>Shape Culture</b>	Provides visible leadership in developing a positive culture for the organisation, and ensures that this is reflected and modelled in their own, and in the Board's, behaviour and decision making. With regard to Board culture; Leads and supports a constructive dynamic within the Board, enabling contributions from all Directors.
<b>Context</b>	Ensures all Board members are well briefed on the external context.
<b>Intelligence</b>	Ensures the provision of information to the Board and Council of Governors that is timely, reliable and comprehensive.
<b>Engagement</b>	Plays key role as an ambassador, and in building strong partnerships with: <ul style="list-style-type: none"><li>• Patients and Public</li><li>• Members and Governors</li><li>• Staff</li><li>• External Stakeholders</li><li>• Regulators</li></ul>

The outcomes from any CQC and Well-Led Reviews will inform the appraisal and the setting of objectives.

3. In undertaking the appraisal the SID will meet with or seek feedback from:
  - 3.1 The Chief Executive - who will provide the collective views of the Executive Directors
  - 3.2 The NEDs
  - 3.3 The Council of Governors
  - 3.4 The NHSE/I Regional Director, and at the discretion of the SID, individually with other external stakeholders.
4. Any Director or Governor is able to meet individually with the SID as part of the Chair's appraisal process.
5. The SID will gather and document views and thoughts on the Chair's contributions and performance in the following categories.
  - 5.1 Previous year's objectives and Personal Development Plan (PDP)
  - 5.2 Current time commitment
  - 5.3 Strategic direction and objective setting

- 5.4 Support, challenge and holding to account
- 5.5 Sub-committees and special responsibilities
- 5.6 Governance and performance improvement
- 5.7 Partnerships, patient and community focus
- 5.8 Involvement/activities to be developed further (strengths and aspirations), learning and development needs and, objectives for the coming year
- 5.9 Future time commitment.

6. Where a Director or Governor is unable to meet with the SID then an opportunity will be provided for them (either written or verbal) to provide feedback on the Chair's contribution and performance in the areas outlined in section 5 above.
7. The SID will review the Chair's 'fit and proper person' self-declaration annually.
8. The SID will collate the outcomes from the appraisal sessions and hold a meeting with the Chair to discuss the outcomes and identify a Personal Development Plan (PDP) and SMART objectives for the forthcoming year.

#### **Definition of SMART Objectives**

**Specific:** outline in a clear statement precisely what is required

**Measurable:** include a measure to enable you to monitor progress and to know when the objective has been achieved

**Achievable:** objectives can be designed to be challenging, but it is important that failure is not built into objectives. Appraiser and appraisee should agree to the objectives to ensure commitment to them

**Realistic:** focus on outcomes rather than the means of achieving them

**Timely:** agree the date by which the outcome must be achieved

9. A formal report on the appraisal and the outcomes will be presented to the:
  - 9.1 NRC during Quarter 1.
  - 9.2 Council of Governors during Quarter 2.
10. The SID will confirm to the Governors whether, following formal performance evaluation, the performance of the Chair continues to be effective and demonstrates commitment to the role.
11. All appraisals will be documented and, following the completion of the appraisals the documents will be lodged with the Board Secretary.

**Appraisal pro forma** - This is attached at attached at appendix 1.

**Objectives and PDP pro forma** - This is attached at attached at appendix 2.

## Chair's Appraisal

Name	
Review Period: (MM/YYYY to MM/YYYY)	

### Overall assessment of performance

The performance of the Chair in their role has been assessed through a formal appraisal process as:

Strong	Meets requirements	Needs development

### Overall feedback and development needs

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### Overall feedback from Chair

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### APPRAISAL SUMMARY

1. Previous year's objectives (see attached copy of last year's)
2. Reflecting the values of the Foundation Trust in the delivery of objectives
3. Current time commitment
4. Involvement/activities to be developed further (strengths and aspirations), learning and development needs and, objectives for the coming year
5. Future time commitment
6. Any further comments

<b>Chair's views</b>
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Senior Independent Director	
Signed	
Name	
Date	

Chair	
Signed	
Name	
Date	

Senior Independent Director review of Chair's 'Fit and Proper Persons' self-declaration completed	
Signed	
Name	
Date	

## Chair's Objectives & PDP 2021

Name	
Review Period: (MM/YYYY to MM/YYYY)	

### Identification of personal development and/or support needs

Description	Proposed intervention	Indicative timescale	Anticipated benefit/measure of success

High-level SMART objectives should relate to the role of the Chair as reflected in the table below.

Formulate Strategy	Ensures the Board develops vision, strategies and clear objectives to deliver organisational purpose
Ensure Accountability	Holds CEO to account for delivery of strategy Ensures Board committees that support accountability are properly constituted
Shape Culture	Provides visible leadership in developing a positive culture for the organisation, and ensures that this is reflected and modelled in their own and in the Board's behaviour and decision making With regard to Board culture; Leads and supports a constructive dynamic within the Board, enabling contributions from all directors
Context	Ensures all Board members are well briefed on the external context
Intelligence	Ensures the provision of information to the Board and Council of Governors that is timely, reliable and comprehensive.
Engagement	Plays key role as an ambassador, and in building strong partnerships with: <ul style="list-style-type: none"> <li>• Patients and Public</li> <li>• Members and Governors</li> <li>• Staff</li> <li>• External Stakeholders</li> <li>• Regulators</li> </ul>

Additional agreed SMART objectives may be added which relate to specific areas of focus.

1.
2.

3.
4.
5.
6.

Chair's feedback
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Senior Independent Director	
Signed	
Name	
Date	

Chair	
Signed	
Name	
Date	

<p><b>Definition of SMART Objectives - along with clarification around interpretation</b></p> <p><b>Specific</b> (Outline in a clear statement precisely what is required)</p> <p><b>Measurable</b> (A measure to enable you to monitor progress and to know when the objective has been achieved)</p> <p><b>Achievable</b> (Objectives can be designed to be challenging, but it is important that failure is not built into objectives. Appraiser and appraisee should agree to the objectives to ensure commitment to them.)</p> <p><b>Realistic</b> (A focus on outcomes rather than the means of achieving them.)</p> <p><b>Timely</b> (Agree the date by which the outcome must be achieved.)</p>
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