

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 (taken from '*The role of the NHS Provider Chair: a Framework for Development*', NHS England and NHS Improvement, April 2021):

Strategic	Ensuring the board sets the trust's long-term vision, values and strategic direction, while identifying and managing risks the Trust faces. Holding the chief executive to account for delivering the Trust's strategy and performance.
People	Creating the right tone at the top, encouraging diversity, change and innovation, and shaping an inclusive, compassionate, and transparent patient-centred culture for the organisation
Partnerships	Balancing organisational governance priorities with system collaboration while promoting collaborative, whole system working. Ensuring decisions benefit the local population, prioritising the needs of citizens served by the organisation at a system level. Facilitating effective member engagement, and dialogue between Governors and Directors.
Professional acumen	Leading the board in terms of governance, ensuring sufficient challenge, and developing internal and external relationships. Establishing effective and ethical decision-making processes
Outcomes focus	Achieving the best sustainable outcomes for patients/service users by fostering a culture of innovation and learning. Ensuring the Board maintains an unrelenting interest in and focus on the continuous improvement and self-assessment of patient safety, experience and clinical outcomes.

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 can 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 The competencies outlined in NHSEI's Provider Chair Competency Framework (strategic, people, partnerships, professional acumen, outcomes focus)
 - 5.2 Previous year's objectives and Personal Development Plan (PDP)
 - 5.3 Current and future time commitment
 - 5.4 Involvement/activities to be developed further (strengths and aspirations), learning and development needs and, objectives for the coming year
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

Chair's views

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.

Strategic	Ensuring the board sets the trust's long-term vision, values and strategic direction, while identifying and managing risks the Trust faces. Holding the chief executive to account for delivering the Trust's strategy and performance.
People	Creating the right tone at the top, encouraging diversity, change and innovation, and shaping an inclusive, compassionate, and transparent patient-centred culture for the organisation
Partnerships	Balancing organisational governance priorities with system collaboration while promoting collaborative, whole system working. Ensuring decisions benefit the local population, prioritising the needs of citizens served by the organisation at a system level. Facilitating effective member engagement, and dialogue between Governors and Directors.
Professional acumen	Leading the board in terms of governance, ensuring sufficient challenge, and developing internal and external relationships. Establishing effective and ethical decision-making processes
Outcomes focus	Achieving the best sustainable outcomes for patients/service users by fostering a culture of innovation and learning. Ensuring the Board maintains an unrelenting interest in and focus on the continuous improvement and self-assessment of patient safety, experience and clinical outcomes.

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

1.
2.
3.
4.
5.
6.

Chair's feedback

Senior Independent Director	
Signed	
Name	
Date	

Chair	
Signed	
Name	
Date	

Definition of SMART Objectives - along with clarification around interpretation

Specific (Outline in a clear statement precisely what is required)

Measurable (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 (A focus on outcomes rather than the means of achieving them.)

Timely (Agree the date by which the outcome must be achieved.)