

Meeting Title	Council of Governors		
Date	21 July 2022	Agenda item	CGo.7.22.14

Report on the outcomes of the Chairman's Appraisal 2022

Presented by	Julie Lawreniuk, Senior Independent Director		
Author	Jacqui Maurice, Head of Corporate Governance		
Governance responsibility	Council of Governors		
Purpose of the paper	To provide a report to the Council on the completion of the Chairman's appraisal in line with the process agreed in April 2022. The Council is asked to confirm it is assured with regard to the process undertaken.		
Action required	Decision		
Previously discussed at/informed by	Governors Nominations and Remuneration Committee (NRC) held 21 June 2022		
Previously approved at:	Committee/Group	Date	

Summary

Introduction

The Chair Appraisal Process for 2022 was approved by the Council of Governors on 28 April 2022. The appraisal process is attached in full at appendix A.

In line with the process the Chairman's appraisal has been undertaken.

Chairman's Appraisal

Julie Lawreniuk, Senior Independent Director conducted the Chairman's appraisal on 19 May 2022. 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.

In undertaking the appraisal; the Senior Independent Director sought views from the;

- Chief Executive (which included feedback from the Executive Directors)
- Non-Executive Directors
- Governors
- External Stakeholders

The outcomes from the appraisal have been fully documented and the objectives for the Chairman have been finalised and agreed. The Senior Independent Director confirms that following the Chairman's formal performance evaluation; the performance of the Chair continues to be effective and demonstrates commitment to the role.

The NRC met with the Senior Independent Director on 21 June and following discussion concluded that it (the NRC) was assured that the process for the appraisal had been carried out in line with the process agreed with the Council and noted the conclusion drawn with regard to the effectiveness of the Chair and his commitment to the role.

The Council is asked to note the report attached on the completion of the Chair Appraisal.

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The Council is also asked to note that a copy of the appraisal documentation has been provided to NHSE/I as this is now a requirement with regard to the Chairs' of NHS Foundation Trusts.

Recommendation/s

The Council is asked to confirm it is assured that the process has been undertaken in line with that agreed with the Council in April 2022 and to note that "following the Chairman's formal performance evaluation; the performance of the Chair continues to be effective and demonstrates commitment to the role".

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Chairman's Appraisal Process 2022

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 Chair'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 Chair is the subject of an annual appraisal.

At the Council of Governors meeting held 28 April 2022, the Governors approved the appraisal process to be used for the Chairman. The Chair appraisal process documentation and pro forma is attached at appendix A.

2. Appraisal of the Chair and completion of the 'Fit and Proper Person's' requirements

The Senior Independent Director conducted the Chairman's appraisal on 19 May 2022. Prior to appraisal, the Chairman was provided with a copy of his objectives, 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 has been completed. The declaration has been checked and signed off by the Senior Independent Director.

3. Feedback received that has informed the chairman's appraisal

- 3.1 A questionnaire in support of the Chair's appraisal was sent to Governors for completion. The results were collated and anonymised and provided to the Senior Independent Director for review.
- 3.2 The Senior Independent Director also met, as a group, with the Non-Executive Directors to gather their collective feedback.
- 3.3 Feedback has been provided by the Chief Executive on behalf of herself and the Executive Directors.
- 3.4 There were no requests from executive directors, non-executive directors or governors to meet individually with the senior independent director in relation to the Chairman's appraisal.
- 3.5 To inform the chair's appraisal, the senior independent director approached two of the Trust's key stakeholders for feedback. Feedback was provided by Richard Barker, North East & Yorkshire Regional Director, NHSE/I, and Helen Hirst, Chief Officer, Bradford District and Craven CCG.

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

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

- a) Strategy
- b) People
- c) Partnerships
- d) Professional acumen
- e) Outcomes focus

4.2 The appraisal has also included a review of:

- a) The previous year's objectives
- b) Reflecting the values of the Foundation Trust in the delivery of objectives
- c) Current time commitment
- d) Involvement/activities to be developed further (strengths and aspirations), learning and development needs and, objectives for the coming year
- e) Future time commitment

4.3 The objectives for the year ahead have been set and finalised with the Chairman.

5. Documentation related to the Chairman's appraisal and Appraisal outcomes.

The outcomes from the Chairman's appraisal have been fully documented and lodged with the Associate Director of Corporate Governance/Board Secretary.

The Senior Independent Director confirms that following the Chairman's formal performance evaluation; the performance of the Chair continues to be effective and demonstrates commitment to the role.

6. Conclusion

The NRC is asked to note the contents of this report on the completion of the Chairman's appraisal and to confirm if it is assured by the contents described and, that the process has been undertaken in line with that agreed with the Council. If so, then the NRC is asked to commend this report to the Council of Governors for their consideration on 21 July 2022.

Julie Lawreniuk
 Senior Independent Director
 June 2022

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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.

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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.

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Appendix 1

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

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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	

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Appendix 2

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.

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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.)