

Appendix A

Non-Executive Director Appraisal Process

1. Annually the Chair will confirm SMART objectives with each Non-Executive Director (NED).

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

2. The NEDs will have a number of common high-level objectives related to the role of the NED and a number of individually tailored objectives related to their individual additional duties/areas of focus.
3. The outcomes from any CQC and Well-Led Reviews will inform the appraisal and the setting of objectives.
4. The common high-level objectives will 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
5. All NED appraisals will be carried out during the same quarter of the year (April /May).
6. The Chair will meet with the NED and broadly review:
 - a) Previous year's Personal Development Plan (PDP) and SMART objectives, committee roles and special responsibilities held
 - a)b) Committee¹ membership to determine if any changes are required to the roles of chairs and members in order to refresh the committees and / or ensure that no undue reliance is placed on particular individuals
 - b)c) Identified areas of impact
 - c)d) Current time commitment

¹ The term 'Committee' throughout this document is used to cover both Committees and Academies.

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- d)e) Involvement/activities to be developed further (strengths and aspirations),
learning and development needs and, objectives for the coming year
- e)f) Future time commitment

7. In undertaking the NED appraisal the Chair will:
 - a) Meet with the Chief Executive (who will provide collective feedback from the Executive Directors)
 - b) Collect feedback from NED peers
 - c) Collect feedback from the Council of Governors
8. The Chair will review the NEDs 'fit and proper person' self-declarations annually.
9. The Chair will document the outcomes from the appraisal session including PDP and objectives identified for the forthcoming year.
10. Training and development opportunities identified will be discussed with the Board Secretary and actioned accordingly.
11. The Chair will present a report to the NRC on the appraisals of the NEDs at the end of Quarter 1 (June).
12. Where a new NED appointment has been made following completion of the annual appraisals, an appraisal will be undertaken within 12 months of appointment and a report presented to the next NRC.
13. The Chair will produce a formal report on the appraisals process undertaken which will be presented to the NRC in September 2023 and the Council of Governors in October 2023. In the case of a NED appointment made following the completion of the annual appraisals a report will be presented to the Council of Governors following consideration of the report by the NRC.

Documentation

1. The NEDs will be provided with a copy of the pro forma prior to the appraisal for them to consider and prepare for their appraisal.
2. 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 below at appendix 1.

Non-Executive Director Objectives & PDP pro forma - This is attached below at appendix 2

Non-Executive Director Appraisal form

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

Overall assessment of performance

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

Strong	Meets requirements	Needs development

Overall feedback and development needs

Overall feedback from Non-Executive Director

APPRAISAL SUMMARY

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

7. Any further comments
Non-Executive Director views

Chair	
Signed	
Name	
Date	

Non-Executive Director	
Signed	
Name	
Date	

Chairman's annual review of 'Fit and Proper Persons' self-declaration completed	
Signed	
Name	
Date	

Non-Executive Director Objectives & PDP 2023

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

Common SMART high-level objectives based on;

- Contributions to the formulation of strategy and holding the executive to account for the delivery of strategy
- Gaining assurance regarding finance, quality and performance
- Shaping organisational culture
- Ensuring that the Board acts in the best interests of the public

Individually tailored SMART objectives will relate to additional duties/areas of focus.

1.
2.
3.
4.
5.

6.

Chair	
Signed	
Name	
Date	

Non-Executive Director	
Signed	
Name	
Date	