PERFORMANCE ASSESSMENT & APPRAISAL PROCESS FOR CHAIRMAN AND NON-EXECUTIVE DIRECTORS

1. Performance Appraisal

The purpose of any appraisal system is to:

- Provide feedback on individual performance in order to influence and guide future performance;
- Set direction and clear goals in order that individuals know what they are to achieve;
- Ensure that individuals have the tools to undertake their roles in terms of skills, knowledge and experience; and
- Ensure that performance and contribution is aligned to the objectives of the Foundation Trust.

This holds good for the Chair and Non-Executive Directors (NEDs).

2. Principles of the Appraisal System

Any appraisal system for the Chairman and NEDs should be underpinned by the following principles:

- Simple and easy to administer;
- Enables key stakeholders to contribute;
- Is objective;
- Is a continual process; and
- Is directly linked to the overall performance of the Foundation Trust.

3. Assessment Scheme

The scheme adopted for the Chairman and NEDs’ assessment will take place against the following common criteria:

- Strategic Direction;
- Awareness;
- Influencing and communicating;
- Leadership and Team Working; and
- Reappointment.

Specific to the Chairman will be:

- Independence and Confidence;
- Patient & Community Focus;
Working with External Agencies; and
Management of Meetings.

Specific to the **Non-Executive Directors** will be:

- Public Interest;
- Governance & Risk;
- Independence and Confidence; and
- Participation and Contribution at Board Meetings.

The Nomination & Remuneration Committee will formulate the above assessment, reviewing the criteria on an annual basis on behalf of the Council of Governors.

### 4. Key Steps – Chairman’s Appraisal

**Step 1**  
The Chairman will review his objectives for the year and prepare a briefing paper on achievements against those objectives.

**Step 2**  
The Senior Independent Director (SID) will request all members of the Board of Directors and the Lead Governor will request all members of the Council of Governors to complete, on a strictly anonymous basis, the peer assessment pro-forma (Appendix A (i) and A (ii)). All forms to be returned to the Trust Secretary who will aggregate the results and produce a summary for the SID and Lead Governor.

**Step 3**  
The SID and Chairman will discuss performance using the briefing paper on achievements against objectives and also the results of the assessment and agree any professional/personal development requirements, following which, the appraisal pro-forma is completed (Appendix B).

**Step 4**  
The appraisal form is summarised and shared with the Nomination & Remuneration Committee, by the SID, without the Chairman being present; a brief report, including any recommendations, is produced and agreed, for consideration by the Council of Governors.

### 5. Key Steps – Non-Executive Directors’ Appraisal

**Step 1**  
The Chairman will request the Executive Directors to complete, on a strictly anonymous basis, the peer assessment pro-forma (Appendix C). All forms to be returned to the Trust Secretary who will aggregate the results and produce a consolidated summary report for the Chairman.

**Step 2**  
Chairman and each Non-Executive Director will discuss performance using the results of the assessment process and reviewing achievement of objectives and agree any professional/personal development needs on a one-to-one basis, following which, the appraisal pro-forma is completed (Appendix D).

**Step 3**  
An agreed set of objectives and a personal development plan are produced for the coming year.
Step 4 The appraisal form is summarised and shared with the Nomination & Remuneration Committee, by the Chairman, and a brief report is produced and agreed, for consideration by the Council of Governors.

6. **Detail of Proposed Process**

**Chairman’s Appraisal**

The appraisal system for the Chairman will be based on feedback from the Council of Governors and from Director-colleagues.

Before the appraisal meeting, the Chairman will review his objectives for the previous year and prepare a briefing paper on achievement against objectives.

Members of the Board of Directors will be asked to complete the peer assessment form in confidence and return them to the Trust Secretary, who will prepare a consolidated report for the Senior Independent Director.

For Governors, the Lead Governor will request them to complete the peer assessment form in confidence and return them to the Trust Secretary.

The Trust Secretary will prepare a consolidated report of feedback for the SID and Lead Governor.

The Chief Executive will meet with Executive Directors to identify any additional feedback, if applicable.

The SID will meet with the Chief Executive to receive any additional feedback from the Executive Directors.

The SID will meet with the NEDs, without the Chairman present, to receive any additional feedback from NEDs.

The SID will meet the Chairman to discuss all of the feedback received, to review performance against objectives taking account of the briefing paper prepared by the Chairman and to undertake the appraisal, completing the appraisal form.

The appraisal form will be summarised for the Governors’ Nomination & Remuneration Committee where it will be considered and a brief report, including any recommendations, will be presented to the Council of Governors by the SID, supported by the Lead Governor.

The timetable will be designed so that the appraisal is conducted early in April each year.

The process includes the identification of any training needs. The appraisal will record the training that has been undertaken by the Chairman during the year.