

**EAST KENT HOSPITALS UNIVERSITY NHS FOUNDATION
TRUST**

POLICY FOR APPRAISAL OF THE CHAIRMAN

APPROVED BY COUNCIL OF GOVERNORS: February 2014

REVIEW DATE: February 2016



POLICY STATEMENT

1. Good governance of Foundation Trusts requires that Board Chairs, like all other senior staff, should be subject to a formal scheme of annual performance appraisal. This ensures that Chairs are themselves appraised, and receive regular feedback on their performance, and on their responsiveness to external constituencies. It can provide evidence to Monitor of accountability if needed, and can also support decisions by the Council of Governors on what actions to take when a Chairman's term of office comes to an end (including whether or not to reappoint without a further open competition).
2. This Policy statement sets out the appraisal process for the Chairman of the Trust only. It [has been agreed] by the Council of Governors and reflects EKHUNHS FT Guidance on the Statutory Duties of Governors.
3. Annual appraisal enables:
 - a) Review of the performance of the Chairman of the Board
 - b) Update of the job specification and personal objectives for the chairman
 - c) Identification of personal development needs of the Chairman set out in a personal development plan where necessary
4. A new Chairman on appointment will have an initial appraisal meeting with the Senior Independent Non-Executive Director (SID) within 4 to 8 weeks of appointment. The primary purpose of this meeting will be to:
 - a) Confirm that the job description is clear
 - b) Agree objectives
 - c) Agree a Personal Development Plan

The key components of the Chairman's appraisal are attached at Appendix 1.

5. An incoming Chairman will have a formal mid-year review, to appraise progress, in October/November. The end of year appraisal will take place in April/May, together with objective setting for the year ahead.
6. In subsequent years, the annual appraisal should take place within 2 months of the financial year end, and should:
 - Review performance and achievement over the preceding year;
 - Review the job description to ensure it remains up to date;
 - Identify changes to the chairman's objectives for the forthcoming year;
 - Agree any requirements for personal development, to be set out in a PDP if necessary.
7. Mid year reviews should take place for established chairs at the request of either the chair or the SID as appraiser.
8. The appraisal process should be conducted by the SID, drawing on the views of and perspectives of other directors, governors, and other stakeholders. The areas covered by the assessment are attached at Appendix 2. The timetable for the appraisal process is attached at Appendix 3.

9. The SID should present the outcome of the appraisal process (including the Chairman's written self-evaluation) each year to the Council of Governors, with a view to reaching agreed conclusions.
- 10.. The SID and anyone else involved in the appraisal process should attend an internal Staff Appraisal Course (1 day).



APPENDIX 1

WHAT IS APPRAISAL?

Appraisal is a participative two-way process between the appraisee and his/her line manager. When appraisal is being used effectively, it is a positive, supportive and developmental process.

It provides the opportunity for the Chairman of the Board of Directors to reflect on his/her performance as an individual and as part of a team, suggest improvements, as well as providing a vehicle for expressing perceptions and feelings.

KEY COMPONENTS OF THE APPRAISAL SYSTEM FOR THE CHAIRMAN

- The Trust considers that the following are some of the key characteristics of a successful appraisal system:
- There is top level support, from all the Trust Board and CoG.
- Training for those undertaking this appraisal will be made available.
- There must be effective mechanisms in place for delivery of the appraisal. These should include allocation of time to undertake appraisals, time for on-going discussion of individual and organisational needs and clear but simple paperwork.
- Objective setting in advance is essential
- The formal appraisal will consist of a discussion between the SID, who will have sought input from other directors, the governors, other relevant external stakeholders and the Chair who will have completed a self-evaluation of his/her progress against the objectives for the year.
 - The SID will solicit feedback from those concerned by seeking oral assessments against the chairman's personal objectives for the year in question, supplemented if necessary by written assessments;
 - The SID will solicit specific feedback from governors on those aspects of the chairman's objectives that are visible to the CoG, normally using a simple questionnaire/rating scale agreed in advance with governors.
- All those taking part in an appraisal should be aware of what happens to their documentation and ensure that issues of confidentiality are addressed.
- Summaries of job descriptions, personal objectives, and appraisals should be held by appraisers and copies retained by the appraisee.

APPENDIX 2 – AREAS COVERED BY ASSESSMENT

The Chairman's appraisal will be led by the Senior Independent Director, facilitating input from the Chief Executive, Board of Directors and members of the Council of Governors.

The appraisal will cover the following assessment [Comment – The latest version of Monitor's Code of Governance includes a quite detailed list of the competencies and requirements of a Chairman. I have not compared the list below with the Guidance, but I assume the former fully reflects the latter] :

- Performance against individual objectives;
- Effective chairmanship of the Board of Directors and Council of Governors;
- Effective leadership of both the Board of Directors and Council of Governors;
- Effective challenge at Board and committee meetings;
- Attendance at Board, committee meetings and Council of Governor meetings;
- Corporate understanding and strategic awareness;
- Commitment;
- Holding to account;
- Personal style;
- Independence and objectivity;
- Self-development and attendance at required training (including mandatory training) and development sessions and events.

APPENDIX 3

The timetable for the Chairman's appraisal:

| ACTIVITY | BY WHEN |
|--|--|
| Senior Independent Director meeting with the Council of Governors to facilitate assessment of the Chairman | MARCH (Private meeting of the Council of Governors) |
| Self assessment against objectives completed | APRIL |
| Senior Independent Director to facilitate peer assessment (Executive Directors, Non Executive Directors) | APRIL |
| Senior Independent Director to discuss peer assessment with the Chairman | APRIL |
| Senior Independent Director to report outcome to the Council of Governors | MAY (Private meeting of the Council of Governors) |