Ashford and St. Peter's Hospitals NHS
NHS Foundation Trust

Council of Governors
18th May 2011

TITLE	**Appraisal of the Chairman at Ashford & St Peter's Hospitals NHS Foundation Trust**
EXECUTIVE SUMMARY	The Remuneration and Appraisal Committee met on 3 May 2011 and agreed a recommendation to the Council on the model, process and timetable for 2011/2 with respect to the appraisal of the Chairman at Ashford & St Peter's NHS Foundation Trust.
The Council is asked to:	To consider and discuss the proposal.
Submitted by:	David Frank Lead Governor
Date:	4th May 2011
Decision:	For Decision

Briefing Paper: Appraisal of the Chairman at Ashford & St Peter's Hospitals NHS Foundation Trust

Introduction

1. This briefing paper provides a review of the guidance in relation to appraisal for chairs of foundation trusts as well as a proposed model, process and timetable for 2011/2 with respect to the appraisal of the Chairman at Ashford & St Peter's NHS Foundation Trust.

Guidance

2. The guidance published by Monitor is summarised as follows:

*2.1 The Board of Governors should take the lead on determining a **process** for the evaluation of the chair. The senior independent director should lead the actual appraisal, although the lead governor can have a role to play. The **outcome** of the evaluation should be discussed and agreed with the council of governors.*

2.2 The senior independent director should confirm to the governors whether the performance of the chair continues to be effective and demonstrates commitment to the role.

*2.3 The council of governors should periodically review the effectiveness of the **process.***

2.4 *The focus of the chair's appraisal will be her performance as chair of the board of directors and it should consider carefully the performance against pre-defined objectives that support the delivery of the trust's forward plan The primary aim of the chair's work will be leading the directors.*

2.5 *This does not mean that performance as chair of the board of governors is not a relevant part of the appraisal. The process is an opportunity to evaluate all relevant performance issues, including those relating to governors.*

Proposed model, Process and Timetable

3.1 The proposed model for the appraisal of the Chairman at Ashford & St Peter's Hospitals NHS Foundation Trust forms Appendix 1. The Senior Independent Director will lead the actual appraisal through an annual objective setting meeting, at least one interim review and a final review. (June 2011, 0ctober 2011, March 2012.)

3.2 The Senior Independent Director will liaise with the Lead Governor throughout the year, but particularly securing input in advance of the annual objective setting meeting, the interim and final reviews.

3.3 An established 360^0 tool will facilitate inputs from a diverse range of key stakeholders who will be selected by the Chairman, Senior Independent Director and Lead Governor. The following 6 internal stakeholder inputs are proposed:

- One input from 9 governors per year (this will be structured so far as possible to enable each governor to have input into the appraisal process at least once during their initial term of appointment so a different group will provide input each year)
- One input from the Executive Directors as a group
- One input from the Non Executive Directors as a group
- One input from the Medical Staff Committee Chairman
- One input from the Employee Partnership Forum
- One input from The Head of Chaplaincy Services

These internal stakeholder inputs should be complemented by up to 9 external stakeholder inputs from the following:

- MPs
- Nominees of the Borough Councils (E.g. Chief Executive or Chairman of the Scrutiny Committee)
- LINk
- Patient's Panel Chairman
- Local Associations for Voluntary Services (E.g. Runnymede Association of Volunteers)
- PCTs
- GP Consortia
- Local Clinical Networks
- SECAM
- Surrey Community Health
- NHS Foundation Trusts

Every effort will be made to ensure that stakeholders have relevant direct experience of the Chairman during the year in which the appraisal is being conducted and that they are representative of organisations, the local geography and socio – economic profile so far as is practicably possible.

3.5 The Senior Independent Director will produce an annual report to confirm to the governors whether the performance of the chairman continues to be effective and demonstrates commitment to the role. (The first report will be in March 2012).

3.6. The Remuneration and Appraisal Committee will review the effectiveness of the process annually, starting in 2012.

David Frank
Lead Governor
3 May 2011

Reference: Your statutory duties: A reference guide for NHS foundation trust governors published by Monitor, pages 22 and 23

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Chairman's Appraisal

Introduction and Guidance

1.1 The appraisal process should be conducted is in accordance with the statutory duties published by Monitor as the regulator for Foundation Trusts.

1.2 The documentation is designed to guide a constructive conversation with the Senior Independent Director as part of a clear and transparent annual review of the effectiveness and commitment of the Chairman.

1.3 The document should be completed and **submitted by the Chairman to the Senior Independent Director at least two weeks in advance** of the annual objective setting and review meeting, as well as any interim review meeting. In parallel, the Senior Independent Director should seek the views and inputs of governors to the process (rather than the content) through the Lead Governor.

1.4 The Senior Independent Director should confirm the outcome of the annual evaluation by way of a brief report to the closed session of the Council of Governors.

1.5 The focus of the appraisal should be as Chairman of the Board of Directors and should carefully consider performance against pre-defined objectives that support the delivery of the forward plan.

Name:	**Date appointed:**
Year of Appraisal	**Appraisal Date/Time/Venue**

PART 1: SELF ASSESSMENT
Summarise how your personal leadership is helping to achieve the overall vision (to be the best healthcare Trust in the country) and the four Strategic Objectives.
Review key messages from your 360 as follows: • **Strategic Direction** • **Effective Board Working** • **Values and Behaviours** • **Decision Making and Accountability** • **Developing Capacity and Capability** • **Engaging Stakeholders and the community**
Discuss progress against pre-defined objectives for the year under review.

Detail and any strengths or weaknesses and related learning and/or development needs.
Is there anything else that you would like to mention with respect to your aspirations for the hospital?

PART 2: SUMMARY OF APPRAISAL DISCUSSION AND DETAILS OF ANY ACTION AGREED:
Signed and Dated: …… Chairman
Signed and Dated: …… Senior Independent Director Executive

PART 3: CONFIRMATION OF LEAD GOVERNOR INPUT:
Signed and Dated: …… Senior Independent Director
Signed and Dated: …… Lead Governor

OBJECTIVE PLANNING FORM FOR THE YEAR 2011/2

Guidance: Consider the following areas for the development of no more than 4 objectives:
Promotes a clear strategic direction; demonstrates personal leadership consistent with the Trust's values and behaviours; holds the Board of Directors to account for the delivery of the forward plan; engages and develops effective partnerships with external stakeholders

Objective	**Actions and Timescales**	**Critical Success Factors/ Measures/ Standards**	**Score/ Comment** (Self) *	**Score/ Comment** (Senior Independent Director)*

Scoring key: 1= poor; 2= generally satisfactory with some areas for improvement; 3=fully satisfactory; 4=outstanding
*** To be completed at the end of the period under review**