

NHS Board Chairs

Performance Appraisal

Appraisal Process

All Chairs of Health Boards should be given a minimum of 2 appraisals (around 6-12 months after appointment and again about 9-12 months before they are due to step down) to ensure that they are properly equipped to fulfil their roles, and identify any learning and development opportunities. The appraisal will be given by the Chief Executive of NHS Scotland/ Director General Health and Social care, on behalf of the Cabinet Secretary for Health and Sport.

The appraisal form will also be used to provide evidence based evaluations to inform the re-appointments process.

The 3 Step Appraisal Process has been informed by best practice and simplified to meet the needs of Health Boards.

- Step 1** In advance of the appraisal discussion the Chair should carry out a self-assessment of their role and contribution to the Business of the Board and record evidence/relevant examples on the 'Appraisal Form'. The Chief Executive of NHS Scotland will also make notes to aid discussion.
- Step 2** Appraisal discussion – this should be a semi-structured conversation using the evidence provided to inform discussion and identify any learning/development needs and/or opportunities.
- Step 3** In light of the discussion, amendments will be made to the form which will be signed off by both parties as an accurate record (including markings). The Chief Executive NHS Scotland will complete 'Section 3' – overall assessment and suitability for re-appointment.

A copy of the completed signed 'Appraisal Form' will be kept by the Corporate Business Management Team, Office of the Chief Executive NHS Scotland the Scottish Government.

NHS Board Chairs should refer to the Standardised Role Description attached at **Annex A**.

Appraisal Form – NHS Board Chairs

Name of NHS Board				
Name of Individual being appraised				
Period of Report:	From		To	
Term of Current Appointment	From		To	

The following ratings markings should be used to assess contribution:

1 = Outstanding 2 = Superior 3 = Effective 4 = Needs Development

Stage 1 Review of Contribution

1. Setting the Direction

Please provide examples/evidence of good practice where you have:	Rating
<ul style="list-style-type: none"> • contributed to strategy development; • Brought your own external perspective, skills and challenge to the process; and, • contributed to ensuring the Board maintains its strategic direction to deliver Scottish Government priorities. 	

2. Holding to Account

Please provide examples/evidence of good practice where you have:	Rating
<ul style="list-style-type: none"> • held the executive team to account; • offered purposeful, constructive scrutiny and challenge; • offered support and advice to the executive leadership team on the delivery of the organisation's aims, objectives, standards and targets; 	

3. Assessing Risk

Please provide examples/evidence of good practice where you have:	Rating
<ul style="list-style-type: none">• identified and managed strategic and operational risks; and,• made evidence based, well-informed, risk assessed decisions.	

4. Engaging Stakeholders

Please provide examples/evidence of good practice where you have:	Rating
<ul style="list-style-type: none">• communicated and engaged with a wide range of organisations and individuals; and,• ensured the Board has acted in the best interests of patients and public.	

5. Influencing Culture

Please provide examples/evidence of good practice where you have:	Rating
<ul style="list-style-type: none">• actively supported and promoted a values based culture;• provided visible leadership in developing a health culture where staff believe that non-executives provide a safe point of access to the Board for raising concerns; and,• demonstrated an understanding of/ promoted diversity and equality.	

Stage 2 – Learning and Development Opportunities

Please provide details of any learning/development opportunities that you have pursued and/or been identified/agreed.

Stage 3 – Overall Assessment and Suitability for Re-appointment

COMPLETED BY CHIEF EXECUTIVE NHS SCOTLAND

The Reporting Individual/Chair's assessment of individual's overall contribution to the work of the body

Comments in this section must provide an accurate summary, including strengths and any weaknesses in contribution (with specific examples), of the reporting individual's formal appraisal of the Chair. If there are any areas where contribution is unsatisfactory, the reporting individual should briefly describe the steps that have been agreed to address this.

Overall Assessment	
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Comments:

Suitability for Re-appointment

Please complete this section and provide specific reasons (including confirmation that the you have taken into account, Board diversity, gender balance, skills mix and that the individual still meets the criteria) for your decision on suitability for reappointment.

I confirm that _____ is

**suitable/not suitable* for re-appointment/extension *(delete as appropriate)

Comments:

Signatures

The form should now be signed and dated by:

Chief Executive NHS Scotland:

Name (**BLOCK
CAPITALS**) _____

Signature _____ Date _____

Chair being appraised:

Name (**BLOCK
CAPITALS**) _____

Signature _____ Date _____

Functions of the Health Boards

5 key functions of Health Boards, as described in the Blueprint for Good Governance, are:

- **Setting the Direction;**
- **Holding to Account;**
- **Assessing Risk;**
- **Engaging Stakeholders; and,**
- **Influencing Culture.**

Role Description

The Board Chair is accountable to the Cabinet Secretary for Health and Wellbeing and Scottish Ministers, for the performance of the Health Body.

The Chair is personally responsible for:

- leadership of the Board, ensuring that it effectively delivers its functions in accordance with the organisation's corporate governance arrangements;
- appointing Board Members to Standing Committees, Integration Joint Boards and other roles within the NHS Board and partner organisations;
- keeping the organisation's governance arrangements and the Board's effectiveness under review;
- setting the agenda, format and tone of Board activities to promote effective decision making and constructive debate;
- developing the capability and capacity of the Board by advising on the appointment of Board Members; appraisal and reporting on their performance; identifying appropriate training and development opportunities and ensuring effective succession planning is in place;
- providing performance management opportunities for the Chief Executive; and,
- representing the organisation in links with Ministers, the Scottish Parliament and other key stakeholders (dual responsibility with the Chief executive).

This will involve:

- ensuring that the Board keeps a sharp focus on developing and maintaining strategic direction;
- contributing to the implementation of relevant Scottish Government policies and priorities;
- being an ambassador for NHS Scotland with a particular focus on people's experience of health and care services;
- being an exemplar of the NHS Scotland values;
- acting in accordance with the principle of collective responsibility for decisions of the Board: no member of the Board is appointed to represent special interests and you are expected to bring an impartial judgement to bear on the business of the Board; and
- upholding the highest ethical standards of integrity and probity and comply with the Board's Code of Conduct derived from the nine principles of public life set out by the Committee on Standards in Public Life (based on the Nolan Principles).