

ANNUAL BOARD SELF-ASSESSMENT QUESTIONNAIRE & SKILLS MATRIX

V0.2

Document control

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Version history

Version	Comments
V0.1	Reviewed at Audit and Risk Committee
V0.2	Reviewed by Audit and Risk members

PURPOSE OF QUESTIONNAIRE AND EVALUATION

The board, its composition and evaluation of performance is central to corporate governance.

All boards, and their committees, can benefit from evaluations and ensure into good governance practices. Board evaluations can bring tremendous benefits and a properly conducted evaluation can contribute significantly to performance improvements on three levels: organisational; board and individual member level.

One of the main goals of board evaluation is to enable boards to purposefully identify and surmount the barriers that impede their effectiveness. Establishing an effective process for board evaluation can send a positive signal to the organisation that board members are committed to doing their best.

The part 1 questionnaire allows IJB members to complete a questionnaire on the Board and share this with other IJB members to ascertain areas of development for the IJB action plan.

The part 2 questionnaire is for individual IJB members to identify areas of skills development and learning, this will be cumulatively assessed and addressed in the action plan. Individual members may also seek individual training if this can be provided.

SELF-ASSESSMENT ASSURANCE QUESTIONNAIRE

As part of the annual year-end governance assurance process, each Committee/Group must record and evidence that it has carried out an annual self-assessment of its own effectiveness. This questionnaire seeks your views on the operation and effectiveness of each Committee on which you serve as a member. Please input your scoring appropriately and provide any comments/feedback you would like considered.

COMMITTEE/GROUP

Audit & Risk Clinical & Care Governance Finance & Policy Strategic Planning Group

Please tick only one box for each question

1 = Strongly Agree	2 = Agree	3 = Neither Agree Nor Disagree	4 = Disagree	5 = Strongly Disagree
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COMMITTEE/GROUP MEMBERSHIP AND DYNAMICS

1 The Committee has been provided with sufficient membership, authority and resources to perform its role effectively and independently.

1	2	3	4	5	Comments/Feedback
	x				Yes – good turn out of members supported by CIA and Audit Scotland, audit fee budget is adequate

2 The Committee/Group's membership includes appropriate representatives from the organisation's key stakeholders.

	x				Yes in ToR
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3 Committee/Group members are clear about their role and how their participation can best contribute to the Committee/Group's overall effectiveness.

	x				yes
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4 Committee/Group members are able to express their opinions openly and constructively.

	x				yes
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5 There is effective scrutiny and challenge of the Senior Leadership Team from all Committee/Group members, including on matters that are critical or sensitive.

	x				Relies on Internal Audit reports and External Auditor annual assurance report – for challenge. The latter will include BV in future. Not doing much scrutiny – may seek to prioritise more for future.
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6 The Committee/Group has received appropriate training/ awareness raising in relation to the areas applicable to the Committee/Group's areas of business.

1	2	3	4	5	Comments/Feedback
			x		Probably not – need to plan training especially for new members of the committee

7 Members have a sufficient understanding and knowledge of the issues to identify patient safety issues

					Not relevant to A&R – remove qn
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COMMITTEE/GROUP MEETINGS, SUPPORT AND INFORMATION

8 The Committee/Group receives timely information on performance concerns, as appropriate.

1	2	3	4	5	Comments/Feedback
			x		mainly F&P Cttee or CC&G. But A&R is responsible for system of performance monitoring. Key theme in BV audits.

9	The Committee/Group receives timely exception reports about the work of external regulatory and inspection bodies, where appropriate.		x				Audit Scotland reports are always presented
10	The Committee/Group receives adequate information and provides appropriate oversight of the implementation of relevant strategies, policy directions or instructions.				x		Covered by Internal Audit reviews to an extent, but concerned that A&R not seeing enough or early enough for key risk areas – risk management focus
11	Information and data included with the papers is sufficient and not too excessive, so as to allow members to reach an appropriate conclusion.		x				Yes
12	Papers are provided in sufficient time prior to the meeting to allow members to effectively scrutinise and challenge the assurances given.		x				Issued one week in advance
13	Committee/Group meetings allow sufficient time for the discussion of substantive matters.		x				Yes – but will need much more time for scrutiny review discussions
14	Minutes are clear and accurate and are circulated promptly to the appropriate people, including all members of the Board	x					Yes, usually next day
		1	2	3	4	5	Comments/Feedback
15	Action points clearly indicate who is to perform what and by when, and all outstanding actions are appropriately followed up in a time manner until satisfactorily complete.				x		Could be improved with action tracker (RAG status). A&RC could be more demanding and ask for more too. More regular follow up on outstanding internal audit actions too.
16	The Committee/Group is able to provide appropriate assurance to the Board that Argyll & Bute H&SCP policies and procedures (relevant to the Committee/Group's own Terms of Reference) are robust.		x				Annual governance statement is reviewed. New procedure recently agreed in Dec. Where there are issues of concern, these are highlighted to IJB. To prompt chairs for this in chair's notes
17	The Committee/Group links well with the Board and other Committee/Groups, taking the opportunity to share information, learning and good practice.			x			On occasions. Meeting minutes presented to IJB. All ToR reviewed incl linkages. Could build into devt sessions to explore further re sharing good practice.

18 The Committee/Group provides clear direction to its sub-Committee/Groups or groups.

		x			No sub groups for A&RC yet. Consider for future.
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19 The Committee/Group periodically receives assurance that the relevant sub-Committee/Groups are fulfilling their work plans and implementing any relevant actions.

					N/A – see Q18 above
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20 All the key issues and risks within the sub-Committee/Group minutes are summarised and presented appropriate, with assurance provided that these are being managed.

					N/A – see Q18 above
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THE ROLE AND WORK OF THE COMMITTEE/GROUP

21 The Committee/Group reports regularly to the Board verbally and through minutes and makes clear recommendations on areas under its remit when necessary.

	1	2	3	4	5	Comments/Feedback
		x				Through minutes and verbal updates too

22 The Committee/Group effectively contributes to the overall control environment of the organisation.

		x				yes
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23 The Committee/Group has an annual work plan in place, aligned to its Terms of Reference that effectively covers all relevant areas therein.

				x		Yes officers have this detail, but could be more explicit and presented formally to the committee and refreshed as required
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24 The Committee/Group seeks effective feedback on its own performance from the Board and Accountable Officer.

	1	2	3	4	5	Comments/Feedback
				x		Not yet in place – planned and important for overall governance and oversight

25 Key decisions are made in a structured manner and can be publicly evidenced.

		x				Not decision making, A&RC authorises publication of unaudited accounts. All papers available on mod.gov system. Audit Scotland reports are public.
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26 What actions could be taken, and in what areas, to further improve the effectiveness of the Committee/Group in respect of discharging its remit?

- Training
- Extension of minute / recommendation which should describe key issues to allow IJB to pick up and ask questions. Ensure that any matters to be escalated to IJB are in the recommendations and minute.

COMMITTEE/GROUP SPECIFIC QUESTIONS

AUDIT & RISK COMMITTEE (A&R)

		1	2	3	4	5	Comments/Feedback
AR1	At least one of the A&R Committee members has sufficient relevant and recent financial experience.		x				Yes
AR2	All members, including the Chair, are suitably independent of the SLT function.		x				CO and CFO are "required attendees" – not members – shouldn't have undue influence – in practice? Consider in training session
AR3	Members are sufficiently independent of the other key committees of the Board.			x			significant cross over between committee memberships. But chair of A&RC is not chair or vice chair
AR4	The A&R Committee annual schedule of meetings is suitable for Argyll & Bute's H&SC's business and governance needs, as well as the requirements of the financial reporting calendar.		x				yes
AR5	The A&R Committee appropriately satisfies itself that the arrangements for risk management, control and governance have operated effectively throughout the reporting period.		x				yes
		1	2	3	4	5	Comments/Feedback
AR6	The A&R Committee effectively considers how accurate and meaningful the Governance Statement is.		x				yes
AR7	The A&R Committee appropriately consider how it should co-ordinate with other Committees that may have responsibility for risk management and corporate governance.			x			Only starting – mainly for CC&G
AR8	The A&R Committee has satisfied itself that the Argyll & Bute H&SCP has adopted appropriate arrangements to counter and deal with fraud.						Remove qn - For parent bodies
		1	2	3	4	5	Comments/Feedback

AR9	The A&R Committee has been made aware of the role of risks management in the preparation of the internal audit plan.		x				yes
AR10	The A&R Committee's role in the consideration of the annual accounts is clearly defined.		x				yes
AR11	The A&R Committee has gained an appropriate understanding of management's procedures for preparing the Argyll & Bute H&SCP's Annual Accounts.		x				yes
AR12	The A&R Committee approves, annually and in detail, the internal audit plans, including consideration of whether the scope of internal audit work addresses Argyll & Bute H&SCP's significant risks.		x				yes
AR13	Outputs from follow-up audits by internal audit are appropriately monitored by the A&R Committee and the Committee considers the adequacy of implementation of recommendations.		x				Yes - follow up reports considered
AR14	There is appropriate co-operation between the internal and external auditors.		x				Yes, excellent
AR15	The A&R Committee reviews the adequacy of internal audit staffing and other resources.		x				yes
AR16	Internal audit performance measures are appropriately monitored by the A&R Committee.		x				In annual internal audit report, plus comment on recent external assessments vs PSIAS
AR17	The external auditors effectively present and discuss their audit plans and strategy with the A&R Committee (recognising the statutory duties of external audit)		x				yes
AR18	The A&R Committee appropriately reviews the external auditor's annual report to those charged with governance		x				yes
		1	2	3	4	5	Comments/Feedback
AR19	The A&R Committee adequately ensures that officials are monitoring action taken to implement external audit recommendations		x				yes

AR20 The A&R Committee assesses effectively the performance of external audit.

			x		No, not reported to the Cttee. Regular survey issued to chair & A&RC, CO and CFO
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AR21 Agenda papers are circulated timeously in advance of meetings to allow adequate preparation by A&R Committee members.

	x				Yes repeat question - remove
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AR22 Reports to the A&R Committee communicate relevant information at the right frequency, time and in a format that is effective

	x				Yes repeat question - remove
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COMMITTEE/GROUP CHAIR'S CHECKLIST

As part of the annual year-end governance assurance process, each Committee must record and evidence that it has carried out an annual self-assessment of its own effectiveness. This questionnaire seeks your views on the operation and effectiveness of the Committee on which you serve as Chair. Please input your scoring appropriately and provide any textual feedback you would like considered.

It is recommended the Chair convene a meeting and undertake this with the committee.

NAME: Sandy Taylor

COMMITTEE/GROUP

Audit & Risk Clinical & Care Governance Finance & Policy Strategy and Planning Group

Please tick only one box for each question

COMMITTEE/GROUP MEMBERSHIP

	YES	NO	Comments/Feedback
1 The membership of the Committee/Group has been formally agreed by the IJB and/or Accountable Officer and a quorum set.	X		
2 The Committee/Group is operating with the requisite number of members as details in its Terms of Reference	X		
3 The relevant Senior Leadership Team members are represented at Committee/Group meetings and regularly attend	X		
4 New Committee/Group members are provided with an appropriate induction/training		X	This is an area for action in the year ahead
5 Each member has formally declared their potential conflicts of interest	X		

6 The Committee/Group has considered the arrangements for assessing the attendance and performance of each member

X		Attendance has been excellent. However the committee may wish to introduce more formal reporting of attendance at some stage in the future
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7 Members are attending meetings on a regular basis and, if not, appropriate action is taken

X		
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COMMITTEE MEETINGS, SUPPORT AND INFORMATION

8 The Committee/Group meets regularly and the current schedule of meetings is appropriate

YES	NO	Comments/Feedback
X		

9 Adequate arrangements are in place to call ad hoc meetings when necessary

X		
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10 Adequate arrangements are in place to notify Committee/Group members of urgent matters between meetings.

X		
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11 The Committee/Group has an appropriate mechanism in place to keep it aware of topical matters between meetings

X		
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THE ROLE AND WORK OF THE COMMITTEE

12 The Committee/Group has a written Terms of Reference, which has been formally adopted by the IJB

YES	NO	Comments/Feedback
X		

13 The Terms of Reference cover the core functions on the Committee/Group

X		
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14 The Terms of Reference are reviewed annually by the Committee/Group to ensure they remain fit for purpose

X		
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15 The Committee/Group periodically assesses its own effectiveness

X		This will be done annually as per the committee terms of reference
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16	The Committee/Group provides an effective annual report on its own activities, which is reviewed by members	X		
17	The IJB regularly reviews the progress and outputs of the Committee/Group	X		
18	The Committee/Group has adequate arrangements in place to ensure that its work is fully conveyed to the wider organisation	X		Minutes are supplemented by verbal reports from the chair to the IJB. The committee may wish to consider if committee papers should be made available to the public in future

ADDITIONAL QUESTIONS FOR CHAIR OF AUDIT & RISK (A&R) COMMITTEE ONLY

		YES	NO	Comments/Feedback
AR1	The H&SCP Governance Statement mentions the A&R Committee's establishment and its broad purpose	X		
AR2	The Accountable Officer attends all meetings and, if not, is provided with a full record of discussions	X		
AR3	The A&R Committee has the benefit of attendance of appropriate officials at its meetings, including representatives from internal audit, external audit and finance	X		
AR4	The A&R Committee has responsibility for review of the draft Governance Statement and considers it separately from the accounts.	X		
AR5	The A&R Committee's Terms of Reference include oversight of the risk management process	X		This is covered in the terms of reference. However this Committee has not yet considered the effectiveness of the risk management process
AR6	The A&R Committee receives and considers stewardship reports from senior staff in key business areas such as Finance, HR and eHealth		X	This is covered by Finance & Policy Committee

		YES	NO	Comments/Feedback
AR7	The A&R Committee considers, as appropriate			
	i) The suitability of accounting policies and treatments	X		As part of annual accounts review
	ii) Major judgements made	X		As part of annual accounts review
	iii) Large write-offs	X		As part of annual accounts review
	iv) Changes in accounting treatment	X		As part of annual accounts review
	v) The reasonableness of accounting estimates	X		As part of annual accounts review
	vi) The narrative aspects of reporting	X		As part of annual accounts review
AR8	The A&R Committee reviews management's letter of representation	X		As part of annual accounts review
AR9	The Chief Internal Auditor regularly attends meetings of the A&R Committee	X		
AR10	Internal audit has a direct reporting line, if required, to the A&R Committee	X		
AR11	As well as an annual report from the Chief Internal Auditor, the A&R Committee receives regular progress reports from the internal audit service	X		
AR12	If considered necessary, the A&R Committee Chair is able to hold private discussions with the Chief Internal Auditor	X		
AR13	The A&R Committee has considered the information it wishes to receive from internal audit	X		
AR14	Formal Terms of Reference exist defining internal audit's objectives, responsibilities, authority and reporting lines	X		

AR15	An A&R Committee meeting is scheduled to receive the external auditor's report to those charged with governance, including a discussion of proposed adjustments to the accounts and other issues arising from the audit.	X		
AR16	The external audit representative regularly attends meetings of the A&R Committee	X		
		YES	NO	Comments/Feedback
AR17	The A&R Committee Chair holds periodic private discussions with the external auditor		X	Proposed for 2021/22 year
AR18	Reports on the work of external audit are presented to the A&R Committee	X		
AR19	The A&R Committee considers the external audit fees	X		Noted that these are set nationally
AR20	The A&R Committee has designated support, which is operating to the appropriate standard	X		