

ANNUAL BOARD SELF-ASSESSMENT QUESTIONNAIRE & SKILLS MATRIX

V0.3

Document control

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Version	Comments
V0.1	Reviewed at Audit and Risk Committee
V0.2	Reviewed by Audit and Risk members
V0.3	Updated question list

Appendix 3

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 X 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	2	3	4	5	Comments/Feedback
1 The Committee has been provided with sufficient membership, authority and resources to perform its role effectively and independently.		x				Sufficient membership and usually quorate. No decision making powers but refer when required to IJB
2 The Committee/Group's membership includes appropriate representatives from the organisation's key stakeholders.		x				Reps from Council and NHS-H and key officers in attendance
3 Committee/Group members are clear about their role and how their participation can best contribute to the Committee/Group's overall effectiveness.		x				Recently reviewed ToR
4 Committee/Group members are able to express their opinions openly and constructively.	x					Generally very robust discussion well received. Good quality of reporting. Noted recent change in membership and need to keep this under review

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				Committee has felt able to request additional reports and officers have responded
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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			No training for this committee specifically since IJB initially set up. Some general devt sessions for all IJB arranged and help for new members. Will explore this further.

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

					Not all that relevant but this committee will ensure that Professional Leads are involved and consulted where necessary. The committee can scrutinise this. Noted that the committee is not decision making.
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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					Monitor performance on finance/ savings and transformation comprehensively

9 The Committee/Group receives timely exception reports about the work of external regulatory and inspection bodies, where appropriate.

					N/A - None come to this committee
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10 The Committee/Group receives adequate information and provides appropriate oversight of the implementation of relevant strategies, policy directions or instructions.

	x				Good info on finance & transformation. Reports received on new / amended policies
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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				All relevant information provided
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12 Papers are provided in sufficient time prior to the meeting to allow members to effectively scrutinise and challenge the assurances given.

	x				Provided 7 days in advance. Small number of follow up papers later
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13	Committee/Group meetings allow sufficient time for the discussion of substantive matters.		x				Not been an issue. Meetings do not generally overrun
14	Minutes are clear and accurate and are circulated promptly to the appropriate people, including all members of the Board		x				Issued quickly and are clear
		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				Not many action points. Could do with an action tracker. Being reviewed by IJB
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				
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. Links well 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.						N/A - No sub groups for F&P yet. Consider for future.
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
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

THE ROLE AND WORK OF THE COMMITTEE/GROUP

		1	2	3	4	5	Comments/Feedback
21	The Committee/Group reports regularly to the Board verbally and through minutes and makes clear recommendations on areas under its remit when necessary.			x			Through minutes and verbal updates too. Will explore further at IJB devt session
22	The Committee/Group effectively contributes to the overall control environment of the organisation.	x					Yes – whole purpose of this committee

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
		1	2	3	4	5	Comments/Feedback
24	The Committee/Group seeks effective feedback on its own performance from the Board and Accountable Officer.				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. All papers available in mod.gov system and minutes are clear and are public. Transparency could be increased if papers were to be made public. May wish to re-visit this for future.
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 for new members
Review of reporting from committees to IB
Consideration of making papers public in future

**COMMITTEE SPECIFIC QUESTIONS
FINANCE AND POLICY (F&P)**

		1	2	3	4	5	Comments/Feedback
FP1	The F&P Committee is provided with appropriate assurance that the corporate risks related to financial governance are being managed to a tolerable level.	x					Financial risks reported every 2 months to F&P and then on to IJB
FP2	The performance information and data presented to the F&P Committee allows for easy identification of deviations from acceptable performance (both negative and positive)	x					In place for finance information.
FP3	Where there is a negative deviation from acceptable performance, the F&P Committee receives adequate information to provide assurance that appropriate action is being taken to address the issues	x					Savings reports include action tracker and are updated regularly. Less detail on transformation
FP4	The F & P Committee is provided with appropriate information for consideration of policy proposals and the scope of any wider impact.		x				Comprehensive papers on the policy proposals seen so far

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: Kieron Green

COMMITTEE/GROUP

Audit & Risk Clinical & Care Governance Finance & Policy X Strategic 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		Meetings quorate though filling vacancy has been lengthy process
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	Would want to be considered alongside other board and committee training
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	
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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		Would be open to chair to do this
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10 Adequate arrangements are in place to notify Committee/Group members of urgent matters between meetings.

X		Could come from chair or officers as appropriate
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11 The Committee/Group has an appropriate mechanism in place to keep it aware of topical matters between meetings

	X	Would be expecting members to be following IJB and committee business generally
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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 self assessment first time formally done
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16 The Committee/Group provides an effective annual report on its own activities, which is reviewed by members

	X	
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17 The IJB regularly reviews the progress and outputs of the Committee/Group

	X	Paper come up from committee but not progress of the committee itself as such
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18 The Committee/Group has adequate arrangements in place to ensure that its work is fully conveyed to the wider organisation

X		
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