ANNUAL BOARD SELF-ASSESSMENT QUESTIONNAIRE & SKILLS MATRIX

V0.3

Document control

| Title | Annual Board Self-assessment questionnaire and skills matrix |
|-----------------|--|
| Author | Charlotte Craig |
| Creation date | December 2020 |
| Date of version | February 2021 |

Version history

| 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

| | ase tick only one bo | x for each question | | | | | | | |
|-----|---|---|---|---------|-------|---|---|---|---|
| 1 = | Strongly Agree | 2 = Agree | 3 = Neither Agree Nor Disagree | 4 = Dis | agree | | | 5 | = Strongly Disagree |
| SN | IMITTEE/GROUP MEMB | ERSHIP AND DYNAMIC | 8 | 1 | 2 | 3 | 4 | 5 | Comments/Feedback |
| | The Committee has been perform its role effective | | membership, authority and resources to | | x | | | | Sufficient membership and usually quora No decision making powers but refer whe required to IJB |
| | The Committee/Group's organisation's key stake | | propriate representatives from the | | x | | | | Reps from Council and NHS-H and key officers in attendance |
| | | bers are clear about their ittee/Group's overall effec | role and how their participation can bes tiveness. | t | x | | | | Recently reviewed ToR |
| | Committee/Group mem | bers are able to express t | heir opinions openly and constructively. | x | | | | | Generally very robust discussion well received. Good quality of reporting. Noted recent change in membership and need t 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.
- 6 The Committee/Group has received appropriate training/ awareness raising in relation to the areas applicable to the Committee/Group's areas of business.
- 7 Members have a sufficient understanding and knowledge of the issues to identify patient safety issues
- COMMITTEE/GROUP MEETINGS, SUPPORT AND INFORMATION
- 8 The Committee/Group receives timely information on performance concerns, as appropriate.
- 9 The Committee/Group receives timely exception reports about the work of external regulatory and inspection bodies, where appropriate.
- 10 The Committee/Group receives adequate information and provides appropriate oversight of the implementation of relevant strategies, policy directions or instructions.
- 11 Information and data included with the papers is sufficient and not too excessive, so as to allow members to reach an appropriate conclusion.
- 12 Papers are provided in sufficient time prior to the meeting to allow members to effectively scrutinise and challenge the assurances given.

| 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. |

| | 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. |
|--|--|
|--|--|

| 1 | 2 | 3 | 4 | 5 | Comments/Feedback |
|---|---|---|---|---|--|
| x | | | | | Monitor performance on finance/ savings and transformation comprehensively |

| | N/A - None come to this committee | |
|--|-----------------------------------|--|
|--|-----------------------------------|--|

| x | Good info on finance & transformation. Reports received on new / amended policies |
|---|---|
|---|---|

| x | | | All relevant information provided |
|---|---|--|---|
| | | | |
| | v | | Broyidad 7 days in advance Small number |

| | х | | | | Provided 7 days in advance. Small number of follow up papers later |
|--|---|--|--|--|--|
|--|---|--|--|--|--|

| х | | Committee has felt able to request |
|---|--|--------------------------------------|
| | | additional reports and officers have |
| | | responded |

- 13 Committee/Group meetings allow sufficient time for the discussion of substantive matters.
- 14 Minutes are clear and accurate and are circulated promptly to the appropriate people, including all members of the Board
- 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.
- 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.
- 17 The Committee/Group links well with the Board and other Committee/Groups, taking the opportunity to share information, learning and good practice.
- 18 The Committee/Group provides clear direction to its sub-Committee/Groups or groups.
- 19 The Committee/Group periodically receives assurance that the relevant sub-Committee/Groups are fulfilling their work plans and implementing any relevant actions.
- 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.

THE ROLE AND WORK OF THE COMMITTEE/GROUP

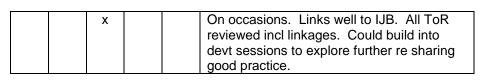
- 21 The Committee/Group reports regularly to the Board verbally and through minutes and makes clear recommendations on areas under its remit when necessary.
- 22 The Committee/Group effectively contributes to the overall control environment of the organisation.

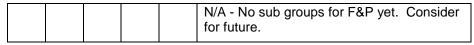
| | Х | | | | Issued quickly and are clear |
|---|---|---|---|---|--|
| | | | | | |
| 1 | 2 | 3 | 4 | 5 | Comments/Feedback |
| | х | | | | Not many action points. Could do with an action tracker. Being reviewed by IJB |
| | | | | | |
| | v | | | | |

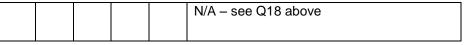
generally overrun

х

Not been an issue. Meetings do not







| | | N/A – see Q18 above |
|--|--|---------------------|
| | | |

| 1 | 2 | 3 | 4 | 5 | Comments/Feedback |
|---|---|---|---|---|---|
| | | x | | | Through minutes and verbal updates too. Will explore further at IJB devt session |

| х | | | 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.
- 24 The Committee/Group seeks effective feedback on its own performance from the Board and Accountable Officer.
- 25 Key decisions are made in a structured manner and can be publicly evidenced.

| | | | х | | 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 | | |
| | | | х | | Not yet in place – planned and important for overall governance and oversight | | |

| 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)

- 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.
- 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)
- 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
- FP4 The F & P Committee is provided with appropriate information for consideration of policy proposals and the scope of any wider impact.

| Comments/Feedback | | | |
|---|--|--|--|
| sks reported every 2 months to hen on to IJB | | | |

In place for finance information.

| х | | | Savings reports include action tracker and |
|---|--|--|--|
| | | | are updated regularly. Less detail on |
| | | | transformation |

| Х | | Comprehensive papers on the policy proposals seen so far |
|---|--|--|
| | | |

Appendix 3

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 undeetake this with the committee.**

NAME: Kieron Green

COMMITTEE/GROUP

| Audi | t & Risk Clinical & Care Governance Finance & Policy X | | | Strategic Planning Group |
|------|--|----------|----|--|
| Plea | se tick only one box for each question | | | |
| СОМ | MITTEE/GROUP MEMBERSHIP | | | |
| 1 | The membership of the Committee/Group has been formally agreed by the IJB and/or Accountable Officer and a quorum set. | YES X | NO | Comments/Feedback |
| 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 | | Х | Would want to be considered alongside other board and committee training |
| 5 | Each member has formally declared their potential conflicts of interest | Х | | |

- 6 The Committee/Group has considered the arrangements for assessing the attendance and performance of each member
- 7 Members are attending meetings on a regular basis and, if not, appropriate action is taken

COMMITTEE MEETINGS, SUPPORT AND INFORMATION

- 8 The Committee/Group meets regularly and the current schedule of meetings is appropriate
- 9 Adequate arrangements are in place to call ad hoc meetings when necessary
- 10 Adequate arrangements are in place to notify Committee/Group members of urgent matters between meetings.
- 11 The Committee/Group tee has an appropriate mechanism in place to keep it aware of topical matters between meetings

THE ROLE AND WORK OF THE COMMITTEE

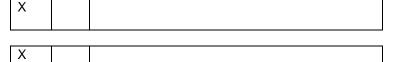
- 12 The Committee/Group has a written Terms of Reference, which has been formally adopted by the IJB
- 13 The Terms of Reference cover the core functions on the Committee/Group
- 14 The Terms of Reference are reviewed annually by the Committee/Group to ensure they remain fit for purpose
- 15 The Committee/Group periodically assesses its own effectiveness
- 16 The Committee/Group provides an effective annual report on its own activities, which is reviewed by members

| | Х | |
|---|---|--|
| Х | | |

YES NO Comments/Feedback

| Х | | |
|---|---|--|
| X | | Would be open to chair to do this |
| Х | | Could come from chair or officers as appropriate |
| | X | Would be expecting members to be following IJB and committee business generally |

YES NO Comments/Feedback





| Х | This self assessment first time formally done | |
|---|---|--|
| | | |

| Х | |
|---|--|
| | |

- 17 The IJB regularly reviews the progress and outputs of the Committee/Group
- 18 The Committee/Group has adequate arrangements in place to ensure that its work is fully conveyed to the wider organisation

X Paper come up from committee but not progress of the committee itself as such

| Х | |
|---|--|
| | |