

Board Governance Self-Assessment Tool – 201~~9/2018~~/19 – for approval by Trust Board at meeting on ~~24 June~~ 0 March 202019 (note - not required for formal submission to DOH; available on request)

Action Plan to address areas of non-compliance 201~~9/2018~~/19 – includes red flag areas

No.	Area/Sub Area	Action Plans to achieve good practice and/or red flag items	By whom Date	Comments	Status As at <u>9/6/2028/2/19</u>
-	General	Prepare an action plan to address any areas of non-compliance Collate the evidence into one central electronic file (where possible)	E Molloy I Low 30 April 2014 I Low 31 May 0214	Information is available via Irene's office/laptop	C 30/4/14 C 30/4/14
1	1 – Board Composition and Commitment				
	1.1 - Board positions and size	GP1 – Mr DF has temporarily stood down from the Trust Board. Regular discussions on-going between the Chairman and Department about this issue.	Chairman	DHSSPS (Permanent Secretary) action point	9.6.20 -The Chair post is currently filled with Acting Chair position by the Deputy Chair The CE post is currently filled as an Interim position and the

					recruitment process is ongoing for the permanent position.
	1.1 - Board positions and size	GP1 – Update the Bio Pic information of all Directors and upload to the internet	Board Secretary	-	C - 30 April 2016
	Note – cross reference with item 2.3 below – Board Induction, Succession and Contingency Planning (RF4)	GP5 – Staggered appointment of NEDs – this issue has been raised by the Chairman on a number of occasions with the Department.	Chairman	DHSSPS action point	C - and ongoing- Issue being addressed by recruitment exercise by DHSSPS Dec 2016 – Completed following recent recruitment exercise for new NEDs by DOH 9.6.20 - Currently 1xNED vacancy and 1xNED Acting Chairman

No.	Area/Sub Area	Action Plans to achieve good practice and/or red flag items	By whom Date	Comments	Status As at 9/6/2028/2/19
	1.2 – Balance and calibre of Board members	GP1 – Formally document the skill set of Trust Board members Skills set audit issued on 20/2/14 with return date of 6/3/14; Undertake a skills audit for 2018	E Molloy I Low 30 June 2014 R – 31/3/15 Myra Weir Irene Low 31/3/18	Seek assistance from Irene Hewitt Seek assistance from Irene Hewitt	C- report on Skills Audit prepared and submitted to TB workshop on 25/2/15. C – April 2018

		RF6 & GP6 – Staggered appointment of NEDs – this issue has been raised by the Chairman on a number of occasions with the Department. Clarification on this issued has now been received by Dept (3 NEDs extended up to 31/3/15; 3 NEDs extended to 30/9/15 and 31/12/15 and then x3 extended to 31/1/2/16)	Chairman	DHSSPS action point	C
	1.3 – Role of the Board	None required	-	-	-
	1.4 – Committees of the Board	None required	-	-	-
		GP7 – Extend the practice of evaluation reports of sub committees of the Trust Board to Finance, Charitable Funds and Remuneration Committee during 2014/15	I Low 30 Sept 2014 R – 30/9/2015 R – 30/6/17 R – 31/3/17 R- 31/3/18 R – 31/3/19 R – 11/3/20	-	IP – CTF completed. Finance & Performance to complete as at 31/3/19. Deemed not appropriate for Remuneration Committee
No.	Area/Sub Area	Action Plans to achieve good practice and/or red flag items	By whom Date	Comments	Status As at 9/6/2028/2/4-9
	1.5 – Board members commitment	GP1 – Adopt a practice of formally documenting attendance at all Trust Board and sub committee meetings during 2014/15 (schedules held for NEDs only will adopt practice fully in 2014/15)	I Low 30 June 2014 R – 30/6/15	-	C – Wef 2015/16 for TB and all TB sub committees

2	Board evaluation, development and learning				
2	2.1 – Effective Board level evaluation	GP1, GP3, GP4 and GP5 and RF3			

		<p>Undertake an annual review of the Board's Governance arrangements using the self-assessment tool.</p> <p>Undertake an independent evaluation of the effectiveness of the Board and its sub committees by a 3rd party which has a proven record in undertaking Board effectiveness evaluations</p> <p>This independent evaluation should include various evaluation methods such as views of representative numbers of staff and key external stakeholders (commissioners, service users, and clients) on whether they perceive the Board to be effective.</p> <p>The independent evaluation should also include both hard (governance structure) and 'soft' dimensions of effectiveness as detailed in GP4)</p> <p>RF3 - 2015/16 self-assessment – needs to include more information on the various evaluation methods such as views of representative numbers of staff and key external stakeholders (commissioners, service users, and clients) on whether they perceive the Board to be effective.</p>	<p>Trust Board Jan/Feb 2015 Chairman E Molloy I Low</p> <p>Chairman M Weir I Low 31/3/18</p>	<p>Seek assistance from Irene Hewitt</p>	<p>C – IE undertaken by HSC Leadership Centre- Jan /Feb 2015</p> <p>C – included in next IE 2017/18 and also included in Board Development Programme for 2017/18</p> <p>2nd IE completed by Irene Hewitt – report approved by TB in March 2018 next due in March 2021</p>
No	Area/Sub Area	Action Plans to achieve good practice and/or red flag items	By whom Date	Comments	Status As at 9/6/2028/2/4-9
	2.2 – Whole Board development programme	<p>GP1 and RF1, RF2</p> <p>Develop a formal Board Development Programme that meets the requirements of this Board Self-Assessment Tool</p>	<p>E Molloy I Low 30 Sept 2014 R 31/3/15</p>	<p>Seek assistance from Irene Hewitt</p>	<p>C for 2014/15 and submitted to TB workshop on 25/2/15</p>
		<p>GP6 – Formally document the skill set of Trust Board members (see 1.2 [GP1])</p>	<p>E Molloy I Low 30 June 2014 R – 31/3/15</p>	<p>Seek assistance from Irene Hewitt</p>	<p>C- report on Skills Audit prepared and</p>

			M Weir I Low 31/3/18		submitted to TB workshop on 25/2/15. C – April 2018
	2.3 – Board induction, succession and contingency planning Note – cross reference with item 1.1 above – Board positions and size (GP5)	RF4 – Staggered appointment of NEDs – this issue has been raised by the Chairman on a number of occasions with the Department. Clarification on this issued is awaited from the Department.	Chairman 30 June 2013	DHSSPS action point	C - and ongoing- Issue being addressed by recruitment exercise by DHSSPS Dec 2016 – Completed following recent recruitment exercise for new NEDs by DOH
	2.4 – Board member appraisal and personal development	GP4 and GP5 Chairman to seek to have the NED appraisal documentation amended by the Department to include objective setting and Personal Development Plans	Chairman 30 Sept 2014		C – Chairman raised issue with Dept in 2013/14
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3	Board Insight and Foresight				
	3.1 – Board performance reporting	GP5 – Review the current format of the Board action log to ensure it meets requirements of 3.1	I Low 30 June 2014		C 30/6/14
	3.2 – Efficiency and Productivity	No action points identified	-	-	-
	3.3 – Environmental and strategic focus	GP5 – Develop a documented programme of work for the Trust Board similar to that used by committees	I Low 30 June 2016 R - 30/4/17		C and approved by TB in Sept

			R – 31/12/17 R – 31/3/18		2018
	3.4 – Quality of Board papers and timeliness of information	No action points identified	-	-	-
	3.5 – Assurance and Risk Management	GP4 – Develop a mechanism for review of governance arrangements and practices against established Departmental or other standards eg, Good Governance Standards for Public Service	E Molloy I Low 30 Sept 2014 R – 31/12/14		C – review of Corporate Governance Code for Central Government Departments – Code of Good Practice & Guidance undertaken in Dec 2014 – not applicable for HSC Trusts. IA to do follow up on Board effectiveness audit in 2014/15. recommendations completed Dec 2016 – Board Effectiveness audit undertaken in Dec 2016 – Satisfactory assurance received.
o	Area/Sub Area	Action Plans to achieve good practice and/or red flag items	By whom Date	Comments	Status As at 9/6/2028/219
4	Board Engagement and Involvement				
	4.1 – External stakeholders	No action points identified	-	-	-
	4.2 – Internal Stakeholders	GP5 – Finalise and sign off the documented set of values and behaviours for managers for staff (included as part of liP work)	E Molloy 30 Sept 2014		C – Trust behaviours available on

		<p>Check if SET policy on Standards of Business Conduct for Managers and Staff meets the requirements of the Code of Conduct for Staff listed in self-assessment tool.</p> <p>Check when next staff survey is to be completed (completed in 2015/16)</p>	<p>I Low /P Morgan 31 Oct 2014 R – 30 June 2015</p>		<p>intranet and for managers to use</p> <p>C – policy updated plus a new HSC Code of Conduct has been issued for staff</p> <p>C – staff survey completed in 2019</p>
	4.3 – Board profile and visibility	<p>No action points identified</p> <p>Chairman to invite NEDs to attend Accountability meetings, if appropriate, as part of their learning and development.</p>	<p>Chairman 2015/16</p>	-	<p>C – format of meetings changed – no longer required.</p>