

Board Review (Self Evaluation) Policy



For QMS purposes only:

Originator: Chief Executive

Reviewed: Board of Trustees

Approved: *Richard Leaman*

Title: Chair of the Board

Date: 24 March 2021

Revision History - (Change Record)		
Revision Level	Reason for Change	Effective Date
	Initial Release	22 April 2021

Board Review (Self Evaluation) Policy

Purpose

Trustee Boards have to make well-informed and appropriately considered decisions to direct the strategy and direction of Capability Scotland and to meet their legal responsibilities.

This document has been created with the intention of providing a control mechanism to ensure the Board meets its responsibilities and to demonstrate that it is achieving a high level of governance.

The process relies on a suite of documentary controls that defines strengths, weaknesses and actions that ensure outcomes meet best practice.

It is considered good practice for a Board to carry out a self-evaluation review exercise on its performance on an annual basis.

Scope

This policy applies to all Trustees of Capability Scotland and co-opted Committee members. It outlines how Capability Scotland intends to collect and hold this information.

Internal References

Code of Conduct for Board Members
Trustee Role Profile

External References

Charities and Trustee Investment (Scotland) Act 2005
OSCR Charity Trustee information and guidance pack (updated May 2020) and guidelines
The Scottish Governance Code for the Third Sector
GDPR and Data Protection principles apply

Appendices /Forms / Templates

Self Evaluation Questionnaire
Skills Assessment & Training Plan

Board Member Review (Self Evaluation) Policy

1. Background

The Board of Trustees is responsible for overseeing the activities of Capability Scotland, determining its future direction and fostering an environment where the mission and purpose of the organisation is achieved. The Board must ensure compliance with statutory charity regulations and its framework of governance, and subject to these, take all final decisions on matters of fundamental concern to Capability Scotland.

It is considered good practice for Boards to carry out a self-evaluation/review exercise to evaluate performance individually and collectively on an annual basis.

2. Self-Evaluation Process

The self-evaluation process seeks to identify substantive strengths or main areas for development in respect of the key areas of activity outlined within the framework. Analysis of the questionnaires will produce action points designed to address areas of development, or to support further enhancement. The Board will then focus on areas where there is a broad agreement that improvement would be beneficial.

The self-evaluation questionnaire follows the five core principles of the Scottish Governance Code for the Third Sector, which sets out key elements of good governance for Boards of charities, voluntary organisations and social enterprises in Scotland. These are:

- Organisational Purpose
- Leadership
- Board Behaviour
- Control
- Effectiveness

The self-evaluation questionnaire has been created with the intention of providing a control mechanism to ensure the Board meets its responsibilities and to demonstrate the controls in place in order to achieve a high level of governance. The process defines the strengths, weaknesses and actions to ensure outcomes meet best practice and add value to the charity's management process. A copy of the questionnaire is attached as Appendix 1.

3. Skills Audit / Assessment of Trustees

As part of the Board review of governance, Trustees will be asked to complete a checklist intended to identify skills and experience of each member of the Board. A copy of the form is attached as Appendix 2 to this procedure. This analysis will also help when recruiting new Trustees.

In addition, all Third Sector organisations are expected to follow practices that fully recognise diversity in all its forms. This is an integral part of good governance and underpins all the five Governance Code principles. Diversity, in its widest sense, is essential for boards to be effective, informed and to make better decisions. Diversity information is being requested from Trustees as part of this form.

4. Training and Development

Self-evaluation or review also includes Trustees identifying training and development requirements. A list of proposed programmes and sessions are included in the appendix. These can be arranged as an online programme, an in-house session for our own Trustees or by attending external (for example, Scottish Council for Voluntary Organisations, Glasgow Council for the Voluntary Sector or other third sector) organisation training events. The Governance & Executive Assistant will keep a record of training events attended by Trustees.

5. Annual Review

The completed questionnaire will be used as the basis for the annual discussion between the Chair of the Board and the individual trustee. A report will be prepared for the Board collectively to consider any areas where governance could be improved, any skills gaps on the Board to be addressed through future recruitment exercises and a Learning and Development Plan for the Board.

6. Policy Review

This policy will be reviewed minimally every three years, or sooner if required, by the Chief Executive.

7. Legislative Implications

Charities and Trustee Investment (Scotland) Act 2005
OSCR Charity Trustee information and guidance pack (updated May 2020)
GDPR and Data Protection principles apply
HMRC rules (where applicable)

8. Appendices

Skills Assessment Form
Self Evaluation Form



Board of Trustees
Self-Evaluation Questionnaire
March 2021

Organisational Purpose & Strategic Planning

	Strongly Agree	Agree	Not Sure	Disagree	Strongly Disagree	Not Applicable
The Board has a clear picture of the mission and vision of Capability Scotland						
The Board and staff review the direction of Capability Scotland and plan ahead						
A Strategic Plan, approved by the Board, is in operation with clear objectives						
The Board are involved in strategic development training sessions						
The Board's agenda items reflect our Strategic Plan, priorities or direction of travel						
The Board regularly reviews and approves Business Critical policies						
The Board reviews its governing document on a regular basis to ensure it is fit for purpose						
The Values of Capability Scotland are embedded across the organisation underpinning all decisions and activities.						
The Standing Orders are reviewed regularly						
Agenda of Board meetings are well planned so that we are able to get through all necessary business						
We receive written reports to the Board in advance of our meetings						
The Board regularly communicates with staff, volunteers and members on our vision and decisions we make, and listen to feedback						

Leadership

	Strongly Agree	Agree	Not Sure	Disagree	Strongly Disagree	Not Applicable
As Trustees we are aware of what is expected of us						
The Board contains members with						

an appropriate mix of skills, background and other experiences						
The Board has a pro-active succession plan linked to the strategic direction, following rules on how Trustees are appointed and how long they serve						
The Board assesses its composition and strengths in advance of recruiting new members						
New members receive suitable induction						
Equality & Diversity is promoted and embedded in policies, practices and the culture of the organisation						
There is a framework for the recruitment selection and retention of the best possible Chief Executive and members of the Executive Team						
The Board, through the Chair, develops formal criteria and a process for evaluating the Chief Executive						

Board Behaviour, Profile & Accountability

	Strongly Agree	Agree	Not Sure	Disagree	Strongly Disagree	Not Applicable
The Board has a positive profile within the organisation						
The Board engages with the organisation						
The Board and Committees are constituted in accordance with statutory requirements and the needs of the organisation						
The Board is open and accountable						
The Terms of Reference for each committee is reviewed regularly by the Board						
The Board works together effectively						
Board members receive ongoing appropriate training to develop and improve capacity and capability						
Board members are recruited through open adverts						

We do a good job encouraging and dealing with different points of view						
The Board is kept well informed of events at Capability Scotland						
The Board is identified on the website and this information is updated regularly						
The Board is content that the handling of concerns and complaints is done so transparently, constructively and impartially						
The Board understands the internal and external environments to create effective strategies and systems for Risk Management						

Control

	Strongly Agree	Agree	Not Sure	Disagree	Strongly Disagree	Not Applicable
The Board considers that the legal and governance structure provides appropriate protection for the organisation, Trustees and members						
The Board delegates operational tasks, whilst recognising responsibility and accountability is retained by the Board						
Members interests are properly declared and any conflicts that may arise are managed and recorded appropriately						
The Board monitors the appropriate mandatory returns – OSCR; Care Inspectorate; Gender Pay; Duty of Candour; etc						
The Board reviews the External Auditors certification annually (as recommended by Finance & Audit Committee)						
The Board reviews Internal Audit reports and updates on recommendations of each (through Finance & Audit Committee)						
Through Finance & Audit Committee, the Board ensures that there are robust financial controls in place and clear information provided to allow the Board to monitor the financial position						
There is a clear understanding on most matters where the Board's role end and the Executive Team's begin						
The Board trusts the judgement of						

the Chief Executive and Executive Team						
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Effectiveness

	Strongly Agree	Agree	Not Sure	Disagree	Strongly Disagree	Not Applicable
Board meetings are scheduled regularly and appropriately						
It appears most Board members come to meetings prepared						
Written reports provide enough information for the Board to scrutinise activities and achievements to assess longer term impact						
All Board members participate in important discussions						
Our decision-making processes are rigorous, informed, transparent, timely and well communicated						
We all support the decisions we make						
There is openness and accessibility to meetings, papers and decision-making processes						
The roles, responsibilities and authorities of the Board and its committees are well defined						
The Board reviews and monitors the Operational Plan on a regular basis						
The Board regularly reviews the Estate strategy and any capital spends						
There is a Remuneration and Nominations Committee in place with appropriate membership and terms of reference						
The Chair undertakes his/her duties effectively						
The Board Secretary provides appropriate support to the Board						

Further Comment	Areas for Improvement
Organisational Purpose	
Leadership	
Board Behaviour	
Control	
Effectiveness	

Board Member Review Policy - Appendix 2
Board of Trustees
Skills Assessment & Training Plan
March 2021

Skills Assessment of Trustees

Name:	
Date:	
Board joining date:	

Core Skills	Skill Level (please tick all that apply)		
	Have a full understanding	Have some understanding	Have little understanding
Social Work / Social Care			
Health			
Education			
Lived experience of disability or social care			
Assistive & Augmentative Technologies			
Disability Rights			
Business planning and strategy development			
Finance / Audit			
HR & Organisational Development			
Health & Safety			
Fundraising			
Marketing / Public Relations			
Legal			
Third Sector			
Governance			
Digital Strategy / IT			
Property Management			
Project Management			
Other:			

Training Plan

How would you prefer to attend / complete training sessions (please tick all that apply)	
Online at set times	
Online at own pace	
In Person at set dates / times	
In Person after Board / Committee Meetings	
External pre-set events	
Evenings	
Please tick box if you would be interested in attending training on any of these topics	
Finance for non-financials	
Corporate Governance	
Risk Management	
GDPR/Data Protection	
Fraud Awareness	
Child & Adult Protection / Safeguarding	
Legal Obligations as a Charity Trustee	
Scottish Governance Code for the Third Sector	
Duty of Candour	
Equality & Diversity	
Cerebral Palsy Awareness	
Other:	

Diversity Information

Gender:	Please Tick			
Male				
Female				
Other				
Age Group	Please Tick			
Under 30				
30 - 40				
41 - 50				
51 - 60				
61 - 70				
Over 70				
Do you consider yourself to be disabled?	YES		NO	
Ethnic Origin				
White Scottish		Caribbean		Chinese
White other British		African		Other Asian background
White Irish		Indian		Other Black background
Other white background		Pakistani		Any other background
Any mixed background		Bangladeshi		
If none of the above, how would you describe yourself?				