

Appraisal Processes for Chair of Council, Chief Executive and Registrar and Council Members

Purpose of paper	To set out the proposed appraisal process for the Chair of Council, Chief Executive and Registrar and Council Members.
Action	For discussion and approval
Corporate Strategy 2016-19	<i>Performance: Objective 1</i> - To improve our performance across all our functions so that we are highly effective as a regulator.
Business Plan 2018	Priority 1 – Continue to build a cost effective and efficient organisation.
Decision Trail	The Remuneration Committee received the proposed appraisal process for the Chair of Council, Chief Executive and Registrar and Council Members at its meeting on 26 September 2019 and made suggested amendments.
Next stage	Appraisals will be carried out in Q4 of 2019 and Q1 of 2020.
Recommendations	The Council is asked to discuss and approve: <ul style="list-style-type: none"> the appraisal processes for Chair of Council, Chief Executive and Registrar and Council Members the draft objectives for the Chair of Council and Chief Executive and Registrar
Appendices	Appendix 1 – Chair of Council – Self-assessment form Appendix 2 - Chair of Council – Draft Objectives 2020 Appendix 3 – Chief Executive and Registrar – Draft Objectives 2020 Appendix 4 – Council Member Self-Assessment Form Appendix 5 – Matrix of peer review
Authorship of paper and further information	Lucy Chatwin Head of People Services lchatwin@gdc-uk.org Sarah Keyes Executive Director, Organisational Development

1. Executive Summary

- 1.1. This paper sets out the proposed appraisal process for the Chair of Council, Chief Executive and Registrar, and Council Members. It also includes the draft objectives for the Chair of Council and Chief Executive and Registrar for 2020.
- 1.2. In accordance with the Remuneration Committee Terms of Reference, a draft of the appraisal processes was reviewed and commented on by the Committee on 26 September 2019. Suggested amendments to the process have been included in this paper and its appendices.
- 1.3. Council is asked to discuss and approve:
 - the appraisal processes for Chair of Council, Chief Executive and Registrar and Council Members; and
 - the draft objectives for the Chair of Council and Chief Executive and Registrar for 2020.

2. Introduction and background

- 2.1. The appraisal process for the Chair of Council (the Chair) was agreed in July 2015 by the Council. At this time, it was undertaken by a person independent of the GDC and consisted of peer feedback by the then Committee Chairs (lay), a number of registrant Council members and the Executive Management Team (EMT).
- 2.2. Following the appointment of a Senior Independent Council Member (SICM) in October 2017, the Chair's appraisal was then undertaken by the SICM and the process was modified to include peer review by Council members, feedback from the Chief Executive and Registrar (the CEO) and views from external stakeholders. This process was agreed by the Council in December 2017. The same process was followed in 2018.
- 2.3. The appraisal process for the CEO is undertaken by the Chair. The appraisal consists of a self-assessment against performance objectives, followed by an assessment by the Chair.
- 2.4. New performance objectives are discussed at both the Chair and CEO's appraisals together with proposed assessment measures and these are approved by the Council each year. This year they were approved at the Council meeting in January 2019.
- 2.5. The appraisal process for Council members was agreed in July 2015 by the Council and consisted of a three-stage process comprising of self-reflection, peer feedback and an appraisal meeting with the Chair. Some minor amendments were made to the process in 2018 which included discussing development and support not just training needs. These amendments were agreed at the Remuneration Committee in September 2018.
- 2.6. Three Council members are due for reappointment in 2020. These appointments seek the assurance of the PSA who have published guidance on the process entitled the "*Good practice in making council appointments.*" This guidance states that Council members performance must be satisfactory, and their skills and experience must continue to meet the Council's needs. An effective appraisal is one way of demonstrating evidence that the requirements have been met, as outlined in the guidance. A separate paper has been submitted to Council outlining an amended process for those who are standing for reappointment.

2.7. On 26 September 2019, the Remuneration Committee considered the draft appraisal processes and suggested the following amendments:

- external feedback for the Chair should be trialled as this is considered best practice. Specifically, feedback should be focussed on the leadership of the organisation, including the CEO, and could be obtained from those who took part in the Council's visits to Wales and Scotland.
- unattributed feedback for Council members was not useful for the individual conducting the appraisal and should be attributed in future to provide helpful context.
- a matrix should be prepared for the Council members' peer review to avoid overly burdening any particular members with this process. It was agreed that, moving forward, peer review of Council members should include the Chair of one Committee (upon which they sit) and one other Council member, who was not a Committee Chair.
- the CEO should continue to provide feedback for each Committee Chair. The Lead Executive Director for the Committee to which they were attached should also provide feedback for the Committee members. The EMT as a collective would provide feedback for each Council member. It was recommended the SICM should speak to people directly around feedback for the Chair of Council.

2.8. The Remuneration Committee provided the following advice in relation to the CEO's appraisal:

- the feedback for the CEO should also be attributed to provide helpful context to the appraiser (the Chair).
- the peer review form should re-labelled as a 'colleague review' form.
- the appraisal and objective setting should expressly exclude Accounting Officer (AO) activities as, for those, the AO was accountable to the Privy Council.
- there should be a substantive split between the collation of feedback from EMT colleagues and from Council members as there is a qualitative difference in the context of this feedback on the CEO.

2.9. Template forms, which support the process, were reviewed by the Remuneration Committee in September 2019.

2.10. The Remuneration Committee suggested that the Executive Assistant for the Chair would manage the appraisal and objective setting process for the Chair. The process for Council members will be managed by the Governance team.

2.11. The Remuneration Committee also agreed the draft objectives of the Chair and CEO should be presented to Council in December for review and approval (Appendix 1 and 2).

3. The Chair of the Council's appraisal process

3.1. An outline of the proposed process is set out below:

3.1.1 The Executive Assistant to the Chair will send the Chair a self-assessment form to return at least two weeks prior to the meeting for review by the SICM. The Chair will also be asked to self-assess achievements against objectives for 2019.

- 3.1.2 The Executive Assistant to the Chair will send Council members the peer feedback form and a copy of the Chair's objectives for 2019. They will be asked to complete the form, which will provide the opportunity to give written feedback. Members are also invited to speak to the SICM if they feel it would be helpful. The Executive Assistant to the Chair will also ask the CEO to provide feedback on the Chair on behalf of EMT.
- 3.1.3 Attributed feedback will be provided to the SICM and the Chair in advance of the appraisal meeting by the Executive Assistant to the Chair.
- 3.1.4 Feedback will be sought from external stakeholders (including government) by the Head of Communications and Engagement and will be provided to the SICM prior to the appraisal. External stakeholders will be asked to provide their objective feedback in relation to how the GDC is performing as an organisation and the leadership as opposed to feedback on individual performance as it is acknowledged it is difficult for external stakeholders to comment specifically on this. If feedback is not received from external stakeholders, relevant feedback from third parties during the previous 12 months will be used such as feedback obtained from Council's visits to Wales and Scotland.
- 3.1.5 The SICM will conduct the Chair's appraisal in January 2020 and completed paperwork will be sent to the Governance team for retention on the electronic personal file.
- 3.1.6 Draft objectives for the Chair have been developed and the Council is invited to approve them (Appendix 1).
- 3.1.7 When progression against objectives is due to be reviewed, the objectives form will be used to monitor progress.

4. The Chief Executive and Registrar's appraisal process

- 4.1. An outline of the proposed process is set out below:
 - 4.1.1 The Executive Director, Organisational Development, will ask the CEO to self-assess achievements against objectives for 2019 to return at least two weeks prior to the meeting for review by the Chair.
 - 4.1.2 The Executive Director, Organisational Development will send the Chair, Council Members and EMT the colleague feedback form for completion and a copy of the CEO's objectives for 2019. The colleague feedback form provides the opportunity to give written feedback, however members are also invited to speak to the Chair if they feel it would be helpful.
 - 4.1.3 Attributed feedback will be provided to the Chair and the CEO in advance of the appraisal meeting by the Executive Director, Organisational Development.
 - 4.1.4 The Chair will conduct the appraisal meeting in January 2020 and completed paperwork will be sent to the Head of People Services for retention on the electronic personal file.
 - 4.1.5 Draft objectives for the CEO have been developed and the Council is invited to approve them (Appendix 2).
 - 4.1.6 The CEO's appraisal and objective setting will expressly exclude Accounting Officer (AO) activities as, for those, the AO is accountable to the Privy Council.
 - 4.1.7 When progression against objectives is due to be reviewed, the objectives form will be used to monitor progress.

5. The Council Members appraisal process

- 5.1. An outline of the proposed process for all Council members who are not standing for reappointment in 2020 is set out below. There is an amended process for those who are standing for reappointment, and that process is set out in a separate paper.
- 5.1.1 The Governance team will send the Council Member the self-assessment form (Appendix 3) to return at least two weeks prior to the meeting for review by the Chair.
- 5.1.2 The Council Member will be prompted to reflect specifically on their contribution as a Committee member and/or Committee Chair, whether they have skills that might be useful on that or another Committee and whether or not they wish to become a Chair of a Committee in the future. They will also be asked to self-reflect on their development which will help inform the Board development programme and support the Board effectiveness review together with considering how well they feel they have understood the issues facing the GDC over the last year.
- 5.1.3 The Governance team will provide details of a Council member's attendance at Council and Committees together with the self-assessment form to the Chair prior to the appraisal meeting.
- 5.1.4 The Remuneration Committee have suggested that feedback on Council Members is sought from:
- the Chair of one Committee upon which they sit
 - one other Council member who is not a Committee Chair
 - the CEO, who will provide feedback on all Committee Chairs
 - the Lead Executive Director for Committee to which they are attached to provide feedback for Committee members.
 - EMT, who as a collective will provide feedback for each Council member

A matrix of who will provide feedback for each Council member is set out at Appendix 4.

- 5.1.5 The Council are asked to consider whether they agree with the above parties providing feedback on Council members and are also asked to discuss what feedback would be most useful to them.
- 5.1.6 The Chair will conduct the appraisal meetings across January and February 2020 which have been organised by the Executive Assistant to the Chair of Council. The dates for these meetings are also set out in Appendix 4.
- 5.1.7 A copy of the finalised appraisals should be sent to the Governance team for retention on the electronic personal file.

6. Risks and Considerations

Communications

The Chair, CEO and Council members will receive email communications advising them when the appraisal paperwork needs to be completed and returned.

Equality and Diversity An Equality Impact Assessment (EIA) will be completed when the appraisal process has been finalised and approved.
Legal The Chair of Council's appraisal is a requirement of the Standing Orders.
Policy N/A.
Resources N/A.
National N/A.

7. Recommendations

7.1 The Council is asked to approve:

- the appraisal processes for Chair of Council, Chief Executive and Registrar and Council Members
- the draft objectives for the Chair of Council and Chief Executive Officer and Registrar.

8. Internal Consultation

Department	Date and consultee name
Governance	April 2019 – Council Members
Chair of Council	August 2019 – William Moyes
Legal	September 2019 – Lisa Marie Williams
Chief Executive's Office	September 2019 – Ian Brack
Governance	September 2019 – Remuneration Committee

9. Appendices

Appendix 1 – Chair of Council – Self-assessment form

Appendix 2 - Chair of Council – Draft Objectives 2020

Appendix 3 – Chief Executive and Registrar – Draft Objectives 2020

Appendix 4 – Council Member Self-Assessment Form

Appendix 5 – Matrix of peer review