

Management Committee Member Appraisal, Training and Development Policy

Service: Corporate	Date	Staff Member
Version Number: 2		
Approved by: Management Committee	16/12/2019	N/A
Effective From:	16/12/2019	N/A
Next Review Date:	12/2024	CE
Revision Number:		
Revision Date:	N/A	N/A
Posted on Intranet:	19/12/2019	PA
Posted on Website:	N/A	N/A
Publicity Material issued:	N/A	N/A
Handbook(s) updated:	N/A	N/A
Document Register updated:	19/12/2019	PA
Previous Version archived:	19/12/2019	PA
SSHC: Charter Standards and Outcomes:	N/A	
SHR: Standards of Governance and Financial Management	5.2, 6.1, 6.2, 6.3, 6.5	

Scottish Social Housing Charter Relevant Standards and Outcomes

STANDARD	OUTCOME
N/A	

Scottish Housing Regulator – Relevant Standards of Governance and Financial Management and Guidance

STANDARD	GUIDANCE
<p>5 The RSL conducts its affairs with honesty and integrity.</p>	<p>5.2 The RSL upholds and promotes the standards of behaviour and conduct it expects of governing body members and staff through an appropriate code of conduct. It manages governing body members' performance, ensures compliance and has a robust system to deal with any breach of the code.</p>
<p>6 The governing body and senior officers have the skills and knowledge they need to be effective.</p>	<p>6.1 The RSL has a formal, rigorous and transparent process for the election, appointment and recruitment of governing body members. The RSL formally and actively plans to ensure orderly succession to governing body places to maintain an appropriate and effective composition of governing body members and to ensure sustainability of the governing body.</p> <p>6.2 The governing body annually assesses the skills, knowledge, diversity and objectivity it needs to provide capable leadership, control and constructive challenge to achieve the RSL's purpose, deliver good tenant outcomes, and manage its affairs. It assesses the contribution of continuing governing body members, and what gaps there are that need to be filled.</p> <p>6.3 The RSL ensures that all governing body members are subject to annual performance reviews to assess their contribution and effectiveness. The governing body takes account of these annual</p>

	<p>performance reviews and its skills needs in its succession planning and learning and development plans. The governing body ensures that any non-executive member seeking re-election after nine years' continuous service demonstrates continued effectiveness.</p> <p>6.5 The RSL ensures all new governing body members receive an effective induction programme to enable them to fully understand and exercise their governance responsibilities. Existing governing body members are given ongoing support and training to gain, or refresh, skills and expertise and sustain their continued effectiveness.</p>
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MANAGEMENT COMMITTEE MEMBER APPRAISAL, TRAINING AND DEVELOPMENT POLICY

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MANAGEMENT COMMITTEE MEMBER APPRAISAL, TRAINING AND DEVELOPMENT POLICY

1. INTRODUCTION

- 1.1 The Association recognises the importance of ensuring that Management Committee Members are supported in their role by the provision of appropriate training and advice.
- 1.2 The Job Description for Management Committee Members includes a commitment to regular training and the Management Committee Member's Guide confirms that induction training will be provided to all new Management Committee Members and that all Management Committee Members are expected to participate in training to keep their knowledge up to date. This is also a requirement of the Scottish Housing Regulator's Regulatory Framework.

2. TRAINING REQUIREMENTS

- 2.1 For new Management Committee Members, the Association has developed an Induction Pack which will cover the essential information required by Members prior to attending their first Management Committee meeting. This pack will include information on the following:-
 - Use of IT Tablets
 - LSHA Activities – Leaflet and Milestones
 - The Management Committee Member's Guide
 - Business Plan
 - The Regulatory Framework
 - Scottish Housing Regulator
 - OSCR
 - Financial Conduct Authority
 - Regulatory Requirements
 - Scottish Social Housing Charter
 - Scottish Housing Quality Standard
 - Governance
 - Rules
 - Standing Orders
 - Codes of Conduct
 - Declarations of Interest Policy
 - Notifiable Events Policy
 - Entitlements, Payments and Benefits Policy
 - Gifts and Hospitality Policy
 - Complaints Policy

- Whistleblowing Policy
- Risk Management Policy
- Treasury Management Policy
- Information Notes
 - Meeting Programme
 - Staff Structure
 - Expenses Claims

2.2 The Association has a comprehensive Management Committee appraisal system in place. Appraisals are carried out annually and their purpose is to strengthen the Management Committee by identifying training and development needs which are then collated into the annual Training Plan. **Appendix 1** comprises the appraisal documentation to be used annually.

2.3 During the course of the year, ad hoc training requirements may be identified either for individuals or for the Management Committee as a whole. These requirements can be added into the Training Plan at any time, as agreed by the Management Committee.

3. FORM OF TRAINING

3.1 The form of training provided can be:-

- Briefings provided by staff
- In-house training from an external source
- Attendance at conferences and events
- Reading publications and journals
- On-line research

4. TRAINING BUDGET

4.1 The Association's Financial Plan includes the budget for both Management Committee and staff member training and this will be revised on an annual basis to ensure that it can meet our training requirements.

5. GENERAL DATA PROTECTION REGULATIONS

5.1 The Association will treat your personal data in line with our obligations under the current data protection regulations and our own policies and procedures.

5.2 Information regarding how your data will be used and the basis for processing your data is provided in the Association's Privacy Policy.

6. REVIEW

- 6.1 This document will be reviewed by the Management Committee or Sub-Committee set up for that purpose in accordance with the requirements of the Association's Register of Policies and Procedures.
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**Buidheann Tigheadas Loch Aillse Agus An Eilein Sgitheanaich
Lochalsh & Skye Housing Association**

Management Committee Appraisal – Questionnaire

Introduction

Lochalsh & Skye Housing Association undertakes a comprehensive Management Committee appraisal process. The appraisals process is not only good practice, but helps the Association meet the expectations of the Scottish Housing Regulator's standards of governance.

The appraisal is not intended to be critical of anyone individually and is solely intended to strengthen the Management Committee as a whole. Training and development needs will be identified and a training plan produced.

Responses to Parts 1 and 2 of the appraisal are identifiable, as each member must fill in their names on the forms. Part 3 will remain anonymous.

Approach & Output

1. Each member of the Management Committee will undergo an appraisal which will take the format of a self-assessment questionnaire and a personal or telephone interview. The self-assessments are to be returned on a date to be agreed by the Management Committee. Telephone or personal interviews will take place on a date and time agreed with each member and will normally be undertaken by the Chairperson and Chief Executive. The Vice-Chairperson will undertake the Chairperson's appraisal with the Chief Executive.
2. There is also an appraisal of the Chairperson by the Committee. This appraisal of the Chairperson is anonymous and intended to give the Chairperson overall feedback from the Committee.
3. The results of the appraisals will be collated and three reports produced. Firstly - an overall assessment report to the Management Committee, secondly – a report on training to be added to the Training Plan and thirdly - a report to the Chairperson on their assessment.

Method

- Part 1 of the questionnaire will assess the respondent's opinion of the Management Committee as a whole;
- Part 2 of the questionnaire will assess the respondent's opinion of their own skills and qualities that they bring to the Committee; and
- Part 3 is an anonymous assessment of the performance of the Chairperson.

Please note: some questions may seem repetitive, but they are asked in order to enable comprehensive analysis.

MANAGEMENT COMMITTEE SELF-ASSESSMENT

PART ONE – FOR ALL MEMBERS OF THE MANAGEMENT COMMITTEE TO COMPLETE

Management Committee Member Name:	
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For the following statements, please rate each, using the following 5-part scale:

- 1: Don't Know**
- 2: Strongly Disagree**
- 3: Disagree:**
- 4: Agree**
- 5: Strongly Agree**

The questions are based on the six Scottish Housing Regulator's Regulatory Standards of Governance and Financial Management.

STANDARD 1: *The governing body leads and directs the RSL to achieve good outcomes for its tenants and other service users.*

Statement 1 - Our Committee gives clear and decisive leadership to the Association.

	Sub statements	Rating 1 - 5
1.1	The Committee takes the lead in developing the business plan.	
1.2	The Committee sets key performance targets.	
1.3	The Committee receives clear performance monitoring reports.	
1.4	The Committee annually approves the budget and receives regular budget reports.	

Statement 2: - Our Committee is in control of the Association's business.

	Sub statements	Rating 1 - 5
2.1	Staff give us detailed reports, which are clear and easy to understand.	
2.2	If required, we will ask for further clarification/more information.	
2.3	When decisions are required, we all ask questions and collectively make decisions.	
2.4	We have the final say on all decisions.	
2.5	We monitor all agreed actions to ensure they are implemented.	

STANDARD 2: *The RSL is open about and accountable for what it does. It understands and takes account of the needs and priorities of its tenants, service users and stakeholders. And its primary focus is the sustainable achievement of these priorities.*

Statement 3 – Tenants and service users (including Care & Repair, Factoring and Energy Advice) are clear about the Association’s purpose.

	Sub statements	Rating 1 - 5
3.1	Most see us as the Landlord – they pay rent and we get on with it.	
3.2	I didn’t really know much about the Association until I joined the Committee.	
3.3	Our tenant surveys suggest that they are clear about our purpose.	
3.4	I’m clear about the steps taken should a complaint be made.	
3.5	Lessons learnt from complaints are captured and acted upon.	

Statement 4 – Committee accountability is clear.

	Sub statements	Rating 1 - 5
4.1	I am clear about who the Committee is accountable to.	

Statement 5 – Notifiable Events are significant.

	Sub statements	Rating 1 - 5
5.1	I understand what is meant by a ‘notifiable event’ and could list several events that would require notification.	

STANDARD 3: *The RSL manages its resources to ensure its financial well-being and economic effectiveness.*

Statement 6 – Treasury Management is in place.

	Sub statements	Rating 1 - 5
6.1	I have a clear understanding of what is meant by ‘treasury management’.	
6.2	We receive regular treasury management updates.	
6.3	We should use professional advisers to assist us when borrowing significant finance.	
6.4	I have full knowledge and understanding of our investments.	
6.5	I have full knowledge and understanding of our borrowings, including bank covenants.	
6.6	I actively participate in the annual budget setting process.	
6.7	I receive regular budget information which I fully understand.	

Statement 7 – A robust financial framework is in place.

	Sub statements	Rating 1 - 5
7.1	I am aware of the financial authorities delegated to staff.	
7.2	I am aware of our procurement processes.	
7.3	We receive clear, regular financial management reports which are adequately explained.	
7.4	I am aware of the financial risks facing the Association.	
7.5	I understand the role that EVH play in annually reviewing salaries and terms and conditions of employment.	

STANDARD 4: *The governing body bases its decisions on good quality information and advice, and identifies and mitigates risk to the organisation's purpose.*

Statement 8 – Our Committee receives high quality reports and enough information on which to base our decisions.

	Sub statements	Rating 1 - 5
8.1	Written reports are good, although they could sometimes be more detailed.	
8.2	Reports go into great details – if there are issues / concerns – all options are covered.	
8.3	We are given excellent information and if we don't know we ask.	
8.4	We receive our information in plenty of time to allow us to thoroughly read all the information/data provided.	

Statement 9 – The Committee hold senior staff accountable for their performance in achieving the Association’s purpose and objectives.

	Sub statements	Rating 1 - 5
9.1	The Committee regularly monitors the work of the staff.	
9.2	If there is a problem in achieving a purpose or objective, we would get a detailed report from staff.	
9.3	If I was not happy about performance – I would say so.	
9.4	If targets are not reached, I will ask questions.	
9.5	I am aware of the Association’s approach to disciplinary matters.	

Statement 10 – The Committee follow a robust decision-making process, ensuring the best possible outcomes for the Association.

	Sub statements	Rating 1 - 5
10.1	Issues are discussed thoroughly and explained before a decision is made by the Committee.	
10.2	More time to process decisions would be good – not a robust as it could be.	
10.3	If a report calls for a decision, everyone discusses the issue and on some occasions it goes to a vote.	
10.4	Minutes of meetings adequately record our decision making process where applicable.	

Statement 11 – The Committee has a good working relationship with senior staff in the Association.

	Sub statements	Rating 1 - 5
11.1	A high level of trust exists between the Committee and senior staff.	
11.2	I am aware of who all our members of staff are.	
11.3	All staff are very approachable.	
11.4	If you have questions, they get answered.	
11.5	We have good lines of communications and we work as a team.	
11.6	I don't know what half the staff who work here do.	

STANDARD 5: *The RSL conducts its affairs with honesty and integrity.*

Statement 12 – We act ethically and in the Association’s best interest.

	Sub statements	Rating 1 - 5
12.1	I have signed a code of conduct and I know what I am agreeing to.	
12.2	I am aware that staff must all sign a code of conduct.	
12.3	I am aware that Committee and staff must declare any conflicts of interest.	
12.4	I am aware of the process to be followed if a member of the Committee has a conflict of interest.	
12.5	I am aware of the process to be followed with regards to gifts and hospitality.	
12.6	I am aware of the meaning and the difference between a ‘grievance’ and a ‘disciplinary’ and I am aware of the Committee’s role in each.	
12.7	I am aware of the role of the office bearers.	
12.8	I have a clear understanding of the nature of whistleblowing.	
12.9	I am aware of the actions I would take should another member of the Committee or a member of staff wish to whistle blow to me.	
12.10	I am aware of the steps I would take should I wish to whistle blow.	

STANDARD 6: *The governing body and senior officers have the skills and knowledge they need to be effective.*

Statement 13 – Our Committee is effective.

	Sub statements	Rating 1 - 5
13.1	We have Committee member's job descriptions.	
13.2	I am clear about my role on the Committee.	
13.3	I make a valuable contribution as a member of the Committee.	
13.4	I am not as effective as I would like to be.	
13.5	We have a Committee succession plan that ensures the future of the Committee is secure with the right people, in the right roles.	
13.6	New members go through a robust induction process.	

Statement 14 – Our senior officer is effective.

	Sub statements	Rating 1 - 5
14.1	We appraise the performance of our senior officer regularly.	
14.2	I am aware of an appraisal system (for our senior officer) but I am not involved.	
14.3	I don't think our senior officer is regularly appraised.	
14.4	We have a staff succession plan.	

End of Part 1. Please now complete Part 2. Thank you.

MANAGEMENT COMMITTEE SELF-ASSESSMENT

PART TWO – TO BE COMPLETED BY ALL MEMBERS OF THE MANAGEMENT COMMITTEE AND MEMBERS OF SUBCOMMITTEES

Management Committee Member Name:	
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For the following questions, please rate yourself, using the following 5-part scale:

- 1: Strongly disagree**
- 2: Disagree**
- 3: Maybe or not sure**
- 4: Agree**
- 5: Strongly Agree**

The questions are designed to assess the skills and qualities that you bring to the Committee.

	Questions – for all members of the Management Committee	Rate 1 - 5
1	I am fully aware of what is expected of me as a Management Committee member.	
2	I actively take part in our annual business planning exercise.	
3	I understand the importance of setting performance indicators.	
4	I receive adequate information on our attainment of key targets.	
5	Performance reports are clear and easy to understand.	
6	I take part in identifying our strategic risks.	
7	I am confident in the risk management process we follow.	
8	We regularly review our key strategic risks.	
9	I am confident that risk management is fully embedded within our Association.	
10	I have a clear understanding of our treasury management approach.	
11	I have a good knowledge of our loan portfolio.	
12	I have a good knowledge of our loan covenant obligations and the implications of a breach.	
13	I have a good knowledge of our investment portfolio.	
14	We receive regular financial management and performance information.	
15	I have a clear understanding of the financial reports we are given.	
16	I receive clear responses if I ask finance related questions.	

	Questions – for all members of the Management Committee	Rate 1 - 5
17	I am happy with the level and content of general information provided to us by staff.	
18	We receive our Management Committee papers in plenty of time to allow us to read them fully before a meeting.	
19	I have a good understanding the Scottish Social Housing Charter.	
20	I am confident that our ARC results are accurate.	
21	I have a good understanding of the Regulatory Standards of Governance and Financial Management.	
22	I am fully aware of what constitutes a notifiable event.	
23	I have a good understanding of equality and diversity legislation.	
24	I am confident that the Association meets all the requirements of the equality and diversity legislation.	
25	I am confident in the Association's anti-fraud approach.	
26	I am confident in the Association's anti bribery approach.	
27	I am aware of the gifts and hospitalities procedure.	
28	I am fully aware of the requirements of the Association's code of conduct.	
29	I am fully aware of the steps I must take should I have a conflict of interest.	
30	I am fully aware of the steps I must take if I am aware that another member of the Management Committee has a conflict of interest.	
31	When we are discussing developments, I receive enough details to ensure that I fully understand the risks and implications associated with the development.	

	Questions – for all members of the Management Committee	Rate 1 - 5
32	I have a clear understanding of development funding and the relationship between private and grant funding.	
33	I am fully aware of EESSH and our obligations.	
34	I have a clear understanding of our requirements with regards to asbestos and legionella.	
35	I have a clear understanding of where the Management Committee's role ends and the Association's senior staff begins.	
36	There is good 2-way communication between the Management Committee and the senior staff.	
37	The Management Committee has developed a formal appraisal process for evaluating the performance of the Chief Executive.	
38	I would be confident in participating in the Chief Executive's annual appraisal exercise.	

	Questions – for members of subcommittees	Rate 1 - 5
	Name of subcommittee – please fill in	
1	I am clear on the remit of the subcommittee.	
2	I am clear on what my role is on the subcommittee.	
3	I am clear where the subcommittee fits in, within our governing structure.	

End of Part 2. Please now complete Part 3 - thank you.

MANAGEMENT COMMITTEE SELF-ASSESSMENT

PART THREE – EFFECTIVENESS OF THE CHAIRPERSON OF THE MANAGEMENT COMMITTEE

This is anonymous – no name required.

For the following questions, please rate yourself, using the following 5-part scale:

- 1: Strongly disagree**
- 2: Disagree**
- 3: Maybe or not sure**
- 4: Agree**
- 5: Strongly Agree**

The questions are designed to constructively assess the skills and qualities of the Chairperson.

	Questions – for all members of the Management Committee – except the Chairperson	Rate 1 – 5
1	I have a good understanding of the role of the Chairperson, and below:-.	
2	The Chairperson is well prepared for our meetings.	
3	The Chairperson ensures that we stick to our meeting agenda.	
4	The Chairperson ensures that every member has an opportunity to be heard.	
5	The Chairperson is skilled at managing different points of view.	
6	The Chairperson can be firm in their opinion and like to dominate our outcomes.	
7	The Chairperson knows how to be direct with individual members if their behaviour needs to change.	
8	The Chairperson appears to favour certain members.	
9	The Chairperson helps us work well together.	
10	The Chairperson demonstrates good listening skills.	
11	All members of the Management Committee support the Chairperson.	
12	The Chairperson is effective in delegating responsibility amongst Committee members.	
13	The Chairperson has an effective and positive working relationship with senior staff.	
14	The Chairperson mentors and encourages others to 'stretch' themselves.	
15	I would be confident in reporting a whistleblowing matter to the Chairperson, if appropriate.	

End of Part 3. Thank you.

