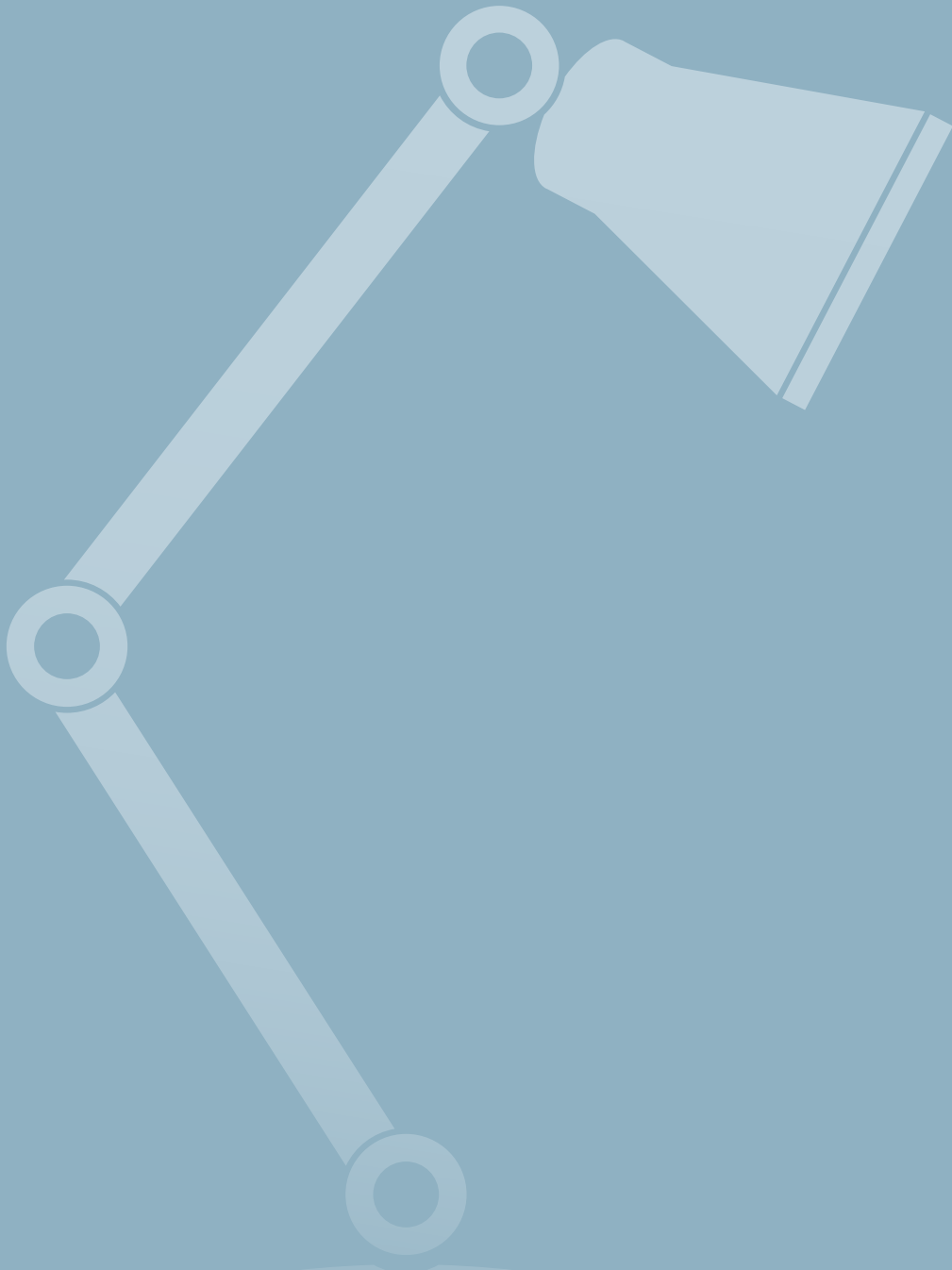


# Board Self-Assessment Evaluation Analysis



# Board Self-Assessment Evaluation Analysis

TEMPLATE for capturing the average and overall ratings of Board members

## SECTION A: ROLE OF THE BOARD

Each State body should be clear about its mandate and from that identify the various functions, roles and responsibilities entailed in the delivery of that mandate

Board Members Satisfaction Rating

Q.1 The Board has clearly documented its role and responsibilities, such as compiling a formal schedule of matters specifically reserved to it for decision (1.7).

Q.2 The formal schedule of matters reserved for decision by the Board is up-to-date and reviewed regularly (1.7).

Q.3 The Board, as a group, understands its role and responsibilities including its stewardship role (8.5-8.7).

Q.4 The Board has agreed the State body's strategic aims with the Minister and parent department, to the extent relevant, and ensured optimal use of resources to meet its objectives (1.1).

Q.5 The Board has ensured that the Chairperson keeps the relevant minister advised of matters arising in respect of the State body (1.6).

Q.6 The Board has fulfilled its key role in setting the ethical tone of a State body, not only by its own actions, but also in overseeing senior management and staff at all levels of the organisation (1.2).

Q.7 The Board has reviewed the controls and procedures adopted by the State body to provide itself with reasonable assurance that such controls and procedures are adequate to secure compliance by the State body with statutory and governance obligations (1.3).

Q.8 The Board has taken all necessary steps to make themselves aware of, and accessed all relevant information relating to, the State body, Government and the public sector as necessary (1.5).

Q.9 Board members have a sufficient understanding of the State body and the sector within which it operates (1.5).

Q.10 The Board has put in place a formal process for setting strategy including the preparation and adoption of a strategic plan (1.15).

Q.11 The Board has approved an annual plan and/or budget and formally undertaken an annual evaluation of actual performance by reference to the plan and/or budget (1.9).

Q.12 The State body's mission and vision have been defined and communicated to all levels within the organization (1.17).

TOTAL

### Calculation of AVERAGE RATING for Section A

TOTAL of Response Ratings

AVERAGE RATING

DIVIDED BY: No. of Questions in Section A [12]

DIVIDED BY: No. of Responses

## SECTION B: OVERSIGHT AGREEMENT

Government Departments should ensure that they have written oversight agreements with State bodies under their aegis which clearly define the terms of the State body's relationship with the relevant Minister/parent Department.

Board Members Satisfaction Rating

Q.13

The State body has a robust oversight agreement with the relevant Minister/parent department which clearly defines the terms of the State body's relationship with the relevant Minister/parent department (8.4).

TOTAL

### Calculation of AVERAGE RATING for Section B

TOTAL of Response Ratings

AVERAGE RATING

DIVIDED BY: No. of Responses

## SECTION C: DIVISION OF RESPONSIBILITIES

There should be a clear division of responsibilities between leading and managing the Board and the executive responsibility for running the State body. No one individual should have unfettered powers of decision.

Board Members Satisfaction Rating

Q.14

The respective roles of the Chairperson and CEO of the State body have been established and documented by the Board (1.24).

TOTAL

### Calculation of AVERAGE RATING for Section C

TOTAL of Response Ratings

AVERAGE RATING

DIVIDED BY: No. of Responses

## SECTION D: BOARD EFFECTIVENESS

The Board should consider the balance of skills, experience, independence and knowledge of the State body on the Board, its diversity, including gender, how the Board works together as a unit, and other factors relevant to its effectiveness.

Board Members Satisfaction Rating

Q.15 Board members have the time and appropriate skills and knowledge, updated as required and appropriate to the activities of the State body, to enable them to discharge their respective duties and responsibilities effectively (4.2).

Q.16 Board members are provided with appropriate inductions, mentoring and assistance with ongoing professional development by the Secretary of the Board, as required (3.10).

Q.17 A culture of openness and debate is promoted in the State body and all Board members are afforded the opportunity to fully contribute to Board deliberations and meetings, including affording non-executive Board members an opportunity to bring an independent judgement to bear on issues (1.4) (3.8).

Q.18 The Board meets sufficiently regularly, the duration of meetings is sufficient, and the meeting format is adequate to enable the Board to discharge its duties effectively (1.7).

Q.19 Board meeting agendas and other related material are circulated in a timely manner to enable full and proper consideration to be given to important issues (2.3).

Q.20 The quality of the Board papers and minutes (e.g. not overly lengthy, clearly explain the key issues and priorities, consistent, timely) (2.3).

Q.21 The Board spends the majority of its time on strategic issues and not day-to-day management responsibilities (2.1).

TOTAL

### Calculation of AVERAGE RATING for Section D

TOTAL of Response Ratings

DIVIDED BY: No. of Questions in Section D [7]

DIVIDED BY: No. of Responses

AVERAGE RATING

# Board Self-Assessment Evaluation Analysis

TEMPLATE for capturing the average and overall ratings of Board members

## SECTION E: CODES OF CONDUCT AND CONFLICTS OF INTERESTS

To ensure continued integrity and transparency, and to avoid public concern or loss of confidence, the Board should ensure that appropriate policies are in place so that members and staff take decisions objectively and steps are taken to avoid or deal with any potential conflicts of interest, whether actual or perceived.

Board Members Satisfaction Rating

Q.22 Updated Codes of Conduct are approved by the Board and circulated to all Board members, management and employees (5.1).

Q.23 The procedures relating to the disclosure of Board members interests are complied with (5.8).

Q.24 The Board has adequate procedures in place to monitor and manage potential conflicts of interest and confidential information of management and Board members (1.10).

TOTAL

### Calculation of AVERAGE RATING for Section E

TOTAL of Response Ratings

DIVIDED BY: No. of Questions in Section E [3]

DIVIDED BY: No. of Responses

AVERAGE RATING

## SECTION F: BUSINESS AND FINANCIAL REPORTING

A fundamental duty of the Board is to ensure that a balanced, true and fair view of the State body's financial performance and financial position is made when preparing the annual report and financial statements of the State body and when submitting these to the relevant Minister.

Board Members Satisfaction Rating

Q.25 The Board ensures that a balanced, true and fair view of the State body's financial performance and financial position is made when preparing the annual report and financial statements of the State body and when submitting these to the relevant Minister (6).

Q.26 The Board ensures timely and accurate disclosure is made to the relevant Minister on all material matters regarding the State body (6).

TOTAL

### Calculation of AVERAGE RATING for Section F

TOTAL of Response Ratings

DIVIDED BY: No. of Questions in Section F [2]

DIVIDED BY: No. of Responses

AVERAGE RATING

# Board Self-Assessment Evaluation Analysis

TEMPLATE for capturing the average and overall ratings of Board members

## SECTION G: RISK MANAGEMENT, INTERNAL CONTROL, AUDIT AND RISK

Internal auditing is an independent, objective, assurance and consulting activity designed to add value and improve the organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.

Board Members Satisfaction Rating

Q.27

The Board approves the risk management policies/framework and monitors its effectiveness including reviewing material risk incidents, noting or approving management's actions and maintaining oversight of risk management and high-risk issues relating to the State body (7.1 – 7.2).

Q.28

The Board fulfils its responsibility for ensuring that effective systems of internal control are instituted and implemented in the State body including financial, operational and compliance controls and risk management (7.3).

Q.29

The Board undertakes an annual review of the effectiveness of internal control systems, including such items as presented in 7.4 of the Code of Practice (7.4).

TOTAL

### Calculation of AVERAGE RATING for Section G

TOTAL of Response Ratings

DIVIDED BY: No. of Questions in Section G [3]

DIVIDED BY: No. of Responses

AVERAGE RATING

## SECTION H: PERFORMANCE EVALUATION

The Board should undertake a self-assessment annual evaluation of its own performance and that of its Board committees.

Board Members Satisfaction Rating

Q.30

The Board undertakes an annual self-assessment evaluation of its own performance and its committees (4.6).

Q.31

Issues arising from the evaluation are followed up and the evaluation process enhances Board effectiveness (4).

TOTAL

### Calculation of AVERAGE RATING for Section H

TOTAL of Response Ratings

DIVIDED BY: No. of Questions in Section H [2]

DIVIDED BY: No. of Responses

AVERAGE RATING

# Board Self-Assessment Evaluation Analysis

TEMPLATE for capturing the average and overall ratings of Board members

## SECTION I: THE BOARD'S RELATIONSHIP WITH MANAGEMENT

Good governance requires effective procedures for the definition of responsibility and accountability.

Board Members Satisfaction Rating

Q.32

There are appropriate delegation authorities in place for management and they are regularly reviewed (4.6).

TOTAL

### Calculation of AVERAGE RATING for Section I

TOTAL of Response Ratings

AVERAGE RATING

DIVIDED BY: No. of Responses

## CALCULATING THE OVERALL RATING

SECTION	NAME	NO. QUESTIONS	AVERAGE RATING
A	The Role of the Board	12	
B	Oversight Agreement	1	
C	Division of Responsibilities	1	
D	Board Effectiveness	7	
E	Codes on Conduct and Conflict of Interests	3	
F	Business and Financial Reporting	2	
G	Risk Management, Internal Control, Audit and Risk	3	
H	Performance Evaluation	2	
I	The Board's Relationship with Management	1	
	<b>TOTAL</b>		<input type="text"/>
	<b>OVERALL RATING</b>	<b>32</b>	<input type="text"/>

# Board Self-Assessment Evaluation Analysis

TEMPLATE for capturing highlights of feedback provided through the open-ended responses of Board members.

## SECTION A: ROLE OF THE BOARD - FEEDBACK

What is working?

What could be done differently?

## SECTION B: OVERSIGHT AGREEMENT - FEEDBACK

What is working?

What could be done differently?



# Board Self-Assessment Evaluation Analysis

TEMPLATE for capturing highlights of feedback provided through the open-ended responses of Board members.

## SECTION C: DIVISION OF RESPONSIBILITIES - FEEDBACK

What is working?

What could be done differently?

## SECTION D: BOARD EFFECTIVENESS - FEEDBACK

What is working?

What could be done differently?

## SECTION E: CODES OF CONDUCT AND CONFLICTS OF INTERESTS - FEEDBACK

What is working?

What could be done differently?

## SECTION F: BUSINESS AND FINANCIAL REPORTING - FEEDBACK

What is working?

What could be done differently?

# Board Self-Assessment Evaluation Analysis

TEMPLATE for capturing highlights of feedback provided through the open-ended responses of Board members.

## SECTION G: RISK MANAGEMENT, INTERNAL CONTROL, AUDIT AND RISK - FEEDBACK

What is working?

What could be done differently?

## SECTION H: PERFORMANCE EVALUATION - FEEDBACK

What is working?

What could be done differently?

# Board Self-Assessment Evaluation Analysis

TEMPLATE for capturing highlights of feedback provided through the open-ended responses of Board members.

## SECTION I: THE BOARD'S RELATIONSHIP WITH MANAGEMENT - FEEDBACK

What is working?

What could be done differently?

This is the end of the Board Self-Assessment Evaluation Analysis.

