



Corporation Self-Assessment

*Adding Value through
Good Governance*



*Transforming Lives
through Learning*

1. Statement of intent

The UK Corporate Code of Governance, against which the Corporation reports annually, states “*The board should undertake a formal and rigorous annual evaluation of its own performance and that of its committees and individual directors*”. (B6 Evaluation: Main Principle)

In its supporting principles, it confirms that the Chair should act on the results of the performance evaluation by recognising the strengths and addressing the weaknesses of the board. It also confirms that individual evaluation should show whether each member contributes effectively and demonstrates commitment to the role, and that the performance evaluation of the Chair should be led by “the senior independent director” and take into account the views of executive directors.

The Foundation Code of Governance (issued by the Association of Colleges) also emphasises the importance of “regular effective assessment by a governing body”. This includes the Chair’s performance and other governors holding offices or undertaking defined roles, and ensuring the performance and effectiveness of all governors is assessed on an ongoing basis.

West Herts College Corporation will ensure, on an annual basis, that it assesses its own collective and individual performance. The method of assessment is the decision of the board, and may vary from year to year according to its identified needs and priorities, but in assessing its performance it will assure itself that:

- The board is able to make timely strategic decisions
- The board is able to monitor and hold senior management to account for the achievement of corporate objectives
- The integrity of reported information is sound
- College controls and financial management are robust
- Risk is proactively managed within the college
- The appropriate skills mix exists both on the board and at senior management level
- Succession planning is in place, for both governors and senior staff
- The board is fulfilling its statutory and regulatory responsibilities.

2. Reliance on external assurance

The Corporation’s self-assessment processes will not seek to replicate external assurance processes that are already in place, which will provide some of the assurances required for self-assessment. This includes:

- external validation obtained from Ofsted inspection reports
- reports from auditors e.g. fieldwork on controls, governance and risk, annual financial statements, regularity audit etc.
- the Financial Management and Controls Evaluation (FMCE)

3. West Herts College Corporation Self Assessment

The Corporation will focus its self-assessment strategy on the effectiveness of its performance, both as a collective and individually. To that end:

- All members will annually complete a review and development form and forward this to the Chair, in advance of a meeting with the Chair, at which they will discuss and assess their individual performance. This will include the review of any offices or responsibilities held by individual members i.e. Vice Chair, Committee Chairs, Safeguarding Governors. It is envisaged that this process will assist in identifying future board succession and individual development and training needs. The headline outcomes of these meetings will be reported on by the Chair to the Search and Governance Committee, to assist them in fulfilling their responsibilities on board search and succession.
- The performance of the Chair will be reviewed annually. Questionnaire responses will be forwarded by members, and by Senior Post Holders, to the Vice Chair. The Vice Chair will lead on the review outcomes and provide a summary report to the Corporation on the outcome of the review. The summary report will seek to ensure the anonymity of responses by not attributing any response to an individual member.
- The performance of the Corporation will be assessed annually. The Director of Governance will lead the review on behalf of the Chair, with individually completed questionnaires returned to the Director of Governance, who will author a summary paper for the Corporation. The summary report will seek to ensure the anonymity of responses by not attributing any response to an individual member. The Corporation will review the assessment report.
- The Audit Committee and the Search & Governance Committee will each review their performance annually against their terms of reference, reporting on the outcomes of the assessment, and making any arising recommendations on changes to their terms of reference, to the Corporation. Members and Senior Post Holders will complete the questionnaire and return the form to the Director of Governance, who will produce a summary report for each committee for discussion. The summary report will seek to ensure the anonymity of responses by not attributing any response to an individual member. The Corporation will receive the summary report to aid their self -assessment.
- The Audit Committee will review the performance of internal and external auditors annually and make any arising recommendations to the Corporation.
- An annual reassessment of skills and experience will be undertaken, and the outcomes will be available to the Search & Governance Committee in their standing item review of board membership and composition.
- Comply or Explain Statements against the UK Corporate Governance Code and Foundation Code of Governance: these have been created and will be reviewed annually by the Director of Governance (or sooner if code changes are implemented), with arising recommendations brought to the Corporation.

- The Director of Governance will annually review (or sooner if required, e.g. due to legislative changes) the Corporation's Instrument and Articles, and supporting bye-laws, policies and code of conduct.

Any actions to be taken forward as a result of the above assessments should be led by the Chair, supported by the Director of Governance.

In addition to the above:

- The performance of the Principal and the Director of Governance will be reviewed by the Chair annually, and reported to the board
- The Corporation's performance will be reported upon in the college's Self-Assessment Report (SAR) under Leadership and Management. The self-assessment strategy outlined above will facilitate the final SAR judgement on Governance. The agreed actions to address identified areas for improvement will be led by the Chair, supported by the Director of Governance, to completion.

4. External assessment

In 2008/9 the board came to the view that, beyond its own self-assessment, it would benefit from seeking external assessment from an independent source, an assessment which went beyond compliance audits or self-assessment, and looked more into the relationships, behaviours and processes of the board itself.

It looked to external agencies with a proven track record of best practice and ultimately chose to work with LSIS (the Learning and Skills Improvement Service). The college and LSIS worked together to create a pilot model of board assessment, which was ultimately conducted in the college in the autumn of 2009 and is now rolled out nationally. The assessment included observation of two board meetings by two LSIS Associates, and meetings between the associates and board members, the Chair, the Principal and the Director of Governance. The associates also reviewed a variety of board documents, strategies and minutes. The board was judged against criteria on relationships and behaviours.

The outcome of the assessment was presented by the associates to the board in early 2010, followed by a detailed report with some suggested areas to be considered by the board for improvement. These were taken forward in a discussion paper and substantive discussion, which also included the outcomes of the Director of Governance's review of Appendix C of the national Schofield review of FE Governance, which had been published during this period.

The two combined assessments were combined with proposals for actions for improvement. The subsequent substantive discussion by the board led to a Board Improvement Plan, with some actions immediately implemented and further actions taken forward during 2010/11.

This process was of value, providing an external and objective view of the board's performance and behaviours from experts in the sector and that is not provided by other external assessments in place in the sector. It is something that the board may consider doing again.

In 2012/13 the Corporation will seek a peer review relationship with another outstanding College. A peer review framework will be established and agreed with the paired college, with the peer reviews to be undertaken during 2012/13.

Self-Assessment Templates

***All forms are designed for electronic completion
and submission***

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Individual performance review



CORPORATION MEMBERS' PERSONAL REVIEW AND DEVELOPMENT ASSESSMENT 2011/12

The Code of Conduct forms the basis of the assessment of performance, i.e. attendance at meetings, individual compliance with the code including acknowledgement of the board's collective responsibility, behaviour at meetings, respect for confidentiality, improving knowledge through training and development

The assessment also focuses on members' performance in terms of their contribution to the Corporation and thereby the College.

SECTION 1 - PERSONAL DETAILS and KEY INDICATORS	
This section will be completed by the Governance Executive Assistant prior to the form being sent to members	
Name:	Appraiser: Frank Neale [Chair of Corporation]
Category of membership:	Term of office expiry date:
Membership term:	Number of terms in office:
Office/s held:	Committee membership/s:

Attendance (academic year to date of review)	%
% Corporation	
% Audit Committee	
% Search & Governance Committee	
% CPSG	

Commitment to the role:
Members are invited to comment on any attendance issues below:

SECTION 2 - PERSONAL REVIEW

To be completed by members in advance of their meeting with the Chair

Registered Interests: *Members are invited to comment on any conflict of interest they have experienced in the last year in their role as a governor*

Corporation membership performance

How effectively do you feel that you have contributed to the work of the Corporation in the last twelve months?

Please use the space below to identify one or two examples that demonstrate the value you feel that you personally have added to the Corporation's work

Committee membership performance

How effectively do you feel that you have contributed to the work of the committees of which you are a member in the last twelve months?

Please use the space below to identify one or two examples that demonstrate the value you feel that you personally have added to the work of the committees which you are a member of

Offices held:

How effectively do you feel your performance has been in the office (or offices) you hold?

Please use the space below to identify one or two examples that demonstrate your effectiveness in this role/s

Corporation culture:

The Corporation governance framework is based on strategic level governance i.e. maintaining the board's focus on its strategic role and responsibilities and respecting the separate role of management. How effectively do you feel you work within this framework?

Please use the space below to provide one or two examples that support your judgement

SECTION 3 – TRAINING AND DEVELOPMENT

To be completed by members in advance of their meeting with the Chair

Members are invited to comment briefly below on any areas which they feel that they as an individual, or the board collectively, would benefit from further training and development on

SECTION 4 – BOARD PERFORMANCE

To be completed by members in advance of their meeting with the Chair

Members are invited to briefly highlight their view of the strengths of the Board's performance in the last year and any areas of improvement for the future, to aid discussion with the Chair. This may include any strengths in the board's performance or governance framework that they regard as critical to its success and any issues members feel have arisen in the past year which have caused them concern e.g. relating to the board's adherence to its collective responsibility, meeting behaviours, confidentiality issues etc.

SECTION 5 –SUCCESSION AND PERSONAL AMBITIONS

To be completed by members in advance of their meeting with the Chair

Members are invited to briefly comment on any potential change of committee membership, office/s held (chair etc.) that they would wish to undertake or be considered for in the future. This will be taken forward in discussion with the Chair at the review meeting

SECTION 6 –CONTINUOUS IMPROVEMENT

To be completed by members in advance of their meeting with the Chair

Looking forward over the next 12 months how do you think you can make a difference to the effectiveness of the board and how would you like to see the board develop?

SECTION 7 –SUMMARY

This section will be completed by the Chair following the review meeting

Summary of

- the review discussion*
- actions to be taken forward with or on behalf of the member e.g. individual training and development*
- comments to be taken forward in the Chair's report to the Search & Governance Committee*
- any other actions to be taken forward e.g. to the Principal and/or the Director of Governance*

Chair's summary:

On completion of Section 6, this form should be electronically signed by the Chair and returned to the member, who will electronically sign the form and return it to the Chair.

Signed (Chair):

Date:	

Signed (Governor):	
Date:	

Chair's performance review



CHAIR'S PERFORMANCE REVIEW

Purpose: *to assess the Chair's performance*

Process:

- *Corporation members and Senior Post Holders will complete the review questionnaire and return it to the Vice Chair of Corporation.*
- *The Vice Chair will lead on the review outcomes and provide a summary report to the Corporation on the outcome of the review.*
- *The Corporation will consider the reported outcomes (the Chair will absent him/herself from the meeting for the discussion)*
- *Any actions to be taken forward will be agreed by the Corporation and reported to the Chair by the Vice Chair*

Outcome: *the information provided by the review will be considered alongside the outcomes of the other elements of the Self-Assessment Strategy, and provide valuable planning information for the Chair and the Director of Governance, alongside the responsibilities of the Search and Governance Committee, to ensure the continuous improvement of the Corporation's performance*

1. Strategic Leadership

1.1 How effectively does the Chair ensure that the Corporation is well informed about major strategic issues (including legislative changes, and the local and national environment and initiatives) that may impact upon the success of the College and the achievement of its Corporate strategic objectives?

Please use the space below to identify one or two examples that support your statement

1.2 How effectively does the Chair ensure that the Corporation has set strategic objectives that articulate the College's vision and ethos?

Please use the space below to identify one or two examples that support your statement

1.3 How effectively does the Chair ensure that appropriate strategic issues are brought to the Corporation for discussion, enabling the Corporation to fulfil its strategic leadership role?

Please use the space below to identify one or two examples that support your statement

1.4 How effectively does the Chair ensure that the Corporation is able to fulfil its strategic monitoring of College performance against its objectives?

Please use the space below to identify one or two examples that support your statement

1.5 How effectively does the Chair promote the interests of the College and represent the college at meetings, conferences etc.?

Please use the space below to identify one or two examples that support your statement

2. Leadership of Meetings and Board Behaviour

2.1 How effectively does the Chair ensure that there is enough time for debate at meetings, and that members are able and encouraged to participate in discussions?

Please use the space below to identify one or two examples that support your statement

2.2 How effectively does the Chair deal with any issues that may be described as 'group dynamics' e.g. embracing and encouraging discussion of diverse views, managing any arising group tensions during discussions and dominant member contributions at the expense of enabling contribution by all members, and finally reaching a corporate consensus?

Please use the space below to identify one or two examples that support your statement

2.3 How effectively does the Chair ensure that the Code of Conduct is observed by all members in the execution of the Corporation's business e.g. that a corporately approved decision is then, going forward, accepted and embraced by individual members?

Please use the space below to identify one or two examples that support your statement

2.4 How effectively does the Chair ensure that board papers are received with sufficient time for members to read them prior to meetings, and that the content of papers enables members to fulfil their strategic leadership and monitoring role?

Please use the space below to identify one or two examples that support your statement

3. Continuous Improvement of Board Performance

3.1 How effectively does the Chair ensure that the Corporation improves its performance through self-assessment, and that the Corporately agreed outcomes of self-assessment are acted upon?

Please use the space below to identify one or two examples that support your statement

3.2 How effectively does the Chair ensure that board membership is reviewed and refreshed, that the board has the necessary skills amongst its members for it to fulfil its role and responsibilities, and that succession plans are in place and acted upon?

Please use the space below to identify one or two examples that support your statement

Corporation performance review



CORPORATION PERFORMANCE REVIEW

Purpose: *to assess the Corporation's performance*

Process:

- *Corporation members will complete the review questionnaire and return it to the Director of Governance*
- *The Director of Governance will lead on the review outcomes on behalf of the Chair and provide a summary report to the Corporation on the outcome of the review*
- *The Corporation will consider the reported outcomes*
- *Any actions to be taken forward will be agreed by the Corporation*

Outcome: *the information provided by the review will be considered alongside the outcomes of the other elements of the Self-Assessment Strategy, and provide valuable planning information for the Chair and the Director of Governance, alongside the responsibilities of the Search and Governance Committee, to ensure the continuous improvement of the Corporation's performance*

1. Governance structure

1.1 Are you assured that the current composition of the board enables effective Governance, and that the range of skills and experience effectively enables the work of the board?

Please use the space below to identify one or two examples that support your statement

1.2 Does the contribution of the managers present at meetings enable and assist effective governance?

Please use the space below to identify one or two examples that support your statement

1.3 How effective is the board's evaluation of its own performance?

Please use the space below to identify one or two examples that support your statement

2. Strategic vision and strategy creation

2.1 Does the board engage appropriately and effectively in the creation of key College strategies, enabling member's input into strategy creation and ultimately their effective monitoring of the strategic outcomes?

Please use the space below to identify one or two examples that support your statement

2.2 How well informed is the board about the labour market needs of its local community, and how effectively has the board considered and set out what it believes those needs are and to what extent it will seek to meet them?

Please use the space below to identify one or two examples that support your statement

3. Board behaviour

3.1 How effectively do members hold management to account in an open, constructive and challenging manner?

Please use the space below to identify one or two examples that support your statement

3.2 How strong is the climate of trust and transparency amongst members?

Please use the space below to identify one or two examples that support your statement

3.3 How effective are members at showing respect for each other?

Please use the space below to identify one or two examples that support your statement

3.4 How effectively do members coherently challenge one another's viewpoints and conclusions and do they demonstrate a willingness to adjust their own interpretation and viewpoints in response to the views and questions of others?

Please use the space below to identify one or two examples that support your statement

3.5 Do members effectively and willingly engage in all aspects of the board's business, embracing their corporate responsibilities for the whole College performance?

Please use the space below to identify one or two examples that support your statement

4. Board decision making

4.1 How effectively do members provide strategic insight into College decisions?

Please use the space below to identify one or two examples that support your statement

4.2 How effective is the board at making decisions?

Please use the space below to identify one or two examples that support your statement

4.3 How effectively does the board take collective responsibility for its decisions?

Please use the space below to identify one or two examples that support your statement

5. Board responsibilities

5.1 How effectively does the board ensure the effective and efficient use of resources, the solvency of the institution and the Corporation and safeguarding their assets, to ensure the achievement of the College's strategic objectives?

Please use the space below to identify one or two examples that support your statement

5.2 Is the board kept effectively apprised of the key risks and challenges facing the College and does the board give effective consideration to those risks in its strategic decision making?

Please use the space below to identify one or two examples that support your statement

5.3 How effectively does the board monitor the progress and achievement against key performance indicators to provide board assurance on continuing improvement in the quality of the learner experience e.g. applications and enrolment; the quality of teaching and learning; learner attendance; learner retention, achievement and success; learner complaints?

Please use the space below to identify one or two examples that support your statement

5.4 How effectively does the board ensure that the College engages with and is accountable to its key stakeholders i.e. learners, employers and the community?

Please use the space below to identify one or two examples that support your statement

5.5 How effectively does the board monitor and ensure that the College fulfils its legal responsibilities for safeguarding learners?

Please use the space below to identify one or two examples that support your statement

5.6 How effectively does the board monitor and ensure that the College meets its responsibilities under equality and diversity legislation? Do all board monitoring reports contain an appropriate level of data that enables effective board monitoring of the impact of its policies on learners and staff?

Please use the space below to identify one or two examples that support your statement

5.7 How effectively does the board monitor and ensure that the College fulfils its legal responsibilities for employment practice and that there is appropriate professional development of staff to enable the College to meet its strategic objectives?

Please use the space below to identify one or two examples that support your statement

5.8 How effectively does the board monitor and ensure that the College fulfils its legal responsibilities for the Health and Safety of learners, staff, external contractors and visitors?

Please use the space below to identify one or two examples that support your statement

5.9 How effectively does the board review the performance and remuneration of the Principal, the Director of Governance, and the other Senior Post Holders?

Please use the space below to identify one or two examples that support your statement

5.10 Do the board's committees and steering groups provide effective advice to the board on all matters that lay within their responsibilities to oversee?

Please use the space below to identify one or two examples that support your statement

6. Adding Value – Do Governors Make a Difference?

6.1 How would you evidence that the board has made a difference to the success of the college in the past twelve months and what has been the outcome of the example (s) you would give? Could the board be more effective in this area, and if so how? Please use the space below to identify one or two examples that support your statement

6.2 How would you evidence that the work of the board has made a difference to learners? Could the board be more effective in this area, and if so how? Please use the space below to identify one or two examples that support your statement

Audit Committee performance review



AUDIT COMMITTEE PERFORMANCE REVIEW

Purpose: *to assess the committee's performance and review the committee's terms of reference (which the questionnaire is based upon)*

Process:

- *Audit Committee members will complete the review questionnaire and return it to the Director of Governance*
- *The Director of Governance will lead on the review outcomes on behalf of the Committee Chair and provide a summary report to the Committee on the outcome of the review*
- *The Committee will consider the summary report in the first instance*
- *Any substantive proposed changes including proposed changes to the Terms of Reference will be recommended to the Corporation*

Outcome: *the information provided by the review will be considered alongside the outcomes of the other elements of the Self-Assessment Strategy, and provide valuable planning information for the Chair and the Director of Governance, alongside the responsibilities of the Search and Governance Committee, to ensure the continuous improvement of the Corporation's performance*

Members should consider each of the following questions.

Members should enter a score of 1, 2, 3, or 4 against each question, with

- **1 indicating Outstanding**
- **2 indicating Effective**
- **3 indicating Partially Effective and**
- **4 indicating Ineffective**

or should answer Yes or No, whichever is indicated at the top right hand side of the tables below.

Any statement members wish to make to support their answer or to make suggestions for future improvements in committee performance or changes to the committee's terms of reference should be added immediately below the question.

Question	Response: Yes/No
1 <i>Does the committee have an appropriate mix of skills and experience that are sufficient to enable it to fulfil its responsibilities within the ToR? Are there any skills or experience within the committee that you feel it would benefit from the addition of?</i>	
2 <i>Does the ToR enable the committee to maintain its independence from the management of the college? How does the committee demonstrate its independence from the management of the college?</i>	
3 <i>Does the committee produce an effective annual report including advice on</i>	

	the college's risk management, control and governance processes and significant matters arising from the work of the auditors? <i>Are there any areas that you think the report would benefit from the addition of?</i>	
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How effectively has the Audit Committee:

Response: 1 - 4

4	... ensured that the Corporation is advised of the college's internal control system? <i>Does the Corporation receive sufficient information on this?</i>	
5	... ensured that the Corporation is advised of the college's risk management arrangements? <i>Is there any additional reporting that would enhance the Corporation's consideration of risks that is currently lacking at Corporation level?</i>	
6	... ensured that the Corporation is advised of the college's control and governance arrangements? <i>Would the Corporation benefit from receiving further advice on this over and above what it already receives, and if so what advice areas are currently missing?</i>	
7	... ensured that the Corporation is advised of the college's controls for securing economy, efficiency and effectiveness (value for money)? <i>Would the Corporation benefit from receiving more advice from the committee on value for money and if so what areas should this focus on?</i>	
8	... advised the Corporation on the appointment/reappointment/dismissal and remuneration of its internal and external auditors? <i>Should the committee provide advice over and beyond what is currently given to Corporation, and if so what should this advice centre on?</i>	
9	... advised the Corporation on the scope and objectives of the work of the internal and external auditors? <i>Would the Corporation benefit from further advice on this and if so how would this benefit the Corporation?</i>	
10	... ensured that there is co-ordination between the internal and external auditors? <i>Are you assured that there is effective co-ordination between internal and external auditors and if so what is the evidence of this? If not, what would give you the assurance you need?</i>	
11	... considered (and advised the Corporation) on the internal audit strategy (including audit needs assessment and the strategic and short term plans for the internal auditors? <i>Are you assured that the committee is able to contribute effectively to the construction of the internal audit strategy and if not what would give you that assurance?</i>	
12	... ensured that the Corporation has received advice on internal audit assignments and annual reports? <i>Are you confident as a committee member that you effectively consider all audit assignment outcomes and audit annual reports, before any advice is given to the board?</i>	
13	... ensured that the Corporation receives advice on control issues including in the management letters of the financial statements auditors (including regularity)? <i>Do you feel that the committee gives adequate time and</i>	

	<i>consideration to the management letters and its views are taken on board before the letters are recommended to the board?</i>	
14	<i>... monitored the implementation of the internal and external auditor agreed recommendations within the agreed timescale? Has the committee's monitoring of this enhanced the completion of recommendations?</i>	
15	<i>... reviewed the college's published annual financial statements focusing on changes in accounting policies and practice, major judgemental areas, significant adjustments and any unadjusted items, and compliance with accepted accounting standards and legal requirements? Do you feel that the committee gives adequate time and consideration to the financial statements and its views are taken on board before recommendation to the board?</i>	
16	<i>... considered and advised the Corporation on relevant report e.g. National Audit Office, government funding agency/ies and other funding bodies as they have occurred? Do you feel the committee receives adequate information and the time to consider such reports as they have occurred?</i>	
17	<i>... established relevant annual performance measures/indicators for the internal and external auditors and assessed each auditors' performance and service value annually? Are there any measures of auditor performance that you consider should be added to the indicators considered?</i>	
18	<i>... reviewed and advised the Corporation on the adequacy of the college's financial regulations? How effectively have members contributed to the review of these regulations and enhanced them for future use in the college?</i>	
19	<i>... ensured that all allegations of fraud and irregularity are properly followed up? Are you assured that you receive reports on all incidents of fraud and irregularity and that they are effectively monitored to conclusion? If not, what would provide total assurance in this area?</i>	
20	<i>... been informed of all additional services undertaken by the internal and external auditors? Was the committee involved in the decision on which additional services to undertake, and were they monitored effectively by the committee to conclusion?</i>	

Terms of Reference review

In light of the above responses you have made:

21	<i>Are the committee's Terms of Reference (ToR) effective? Are there areas of work the committee should undertake that is not currently included in its ToR and if so what areas of work are they?</i>	
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Search and Governance Committee performance review



SEARCH AND GOVERNANCE COMMITTEE PERFORMANCE REVIEW

Purpose: *to assess the committee's performance and review the committee's terms of reference (which the questionnaire is based upon)*

Process:

- *Search and Governance Committee members will complete the review questionnaire and return it to the Director of Governance.*
- *The Director of Governance will lead on the review outcomes on behalf of the Committee Chair and provide a summary report to the Committee on the outcome of the review.*
- *The Committee will consider the summary report in the first instance*
- *Any substantive proposed changes including proposed changes to the Terms of Reference will be recommended to the Corporation*

Outcome: *the information provided by the review will be considered alongside the outcomes of the other elements of the Self-Assessment Strategy, and provide valuable planning information for the Chair and the Director of Governance, alongside the responsibilities of the Search and Governance Committee, to ensure the continuous improvement of the Corporation's performance*

Members should consider each of the following questions.

Members should enter a score of 1, 2, 3, or 4 against each question, with

- **1 indicating Outstanding**
- **2 indicating Effective**
- **3 indicating Partially Effective and**
- **4 indicating Ineffective**

or should answer Yes or No, whichever is indicated at the top right hand side of the tables below.

Any statement members wish to make to support their answer or to make suggestions for future improvements in committee performance or changes to the committee's terms of reference should be added immediately below the question.

SEARCH RESPONSIBILITIES

	Question	Response: 1 to 4
1	Regularly reviewing and annually making recommendations to the Corporation on its composition in the light of the Instrument of Government. <i>How effective is the committee's review of the composition of the Corporation? Does the committee receive adequate information to enable its review and if not what further information would be beneficial?</i>	

2	<p>Reviewing as a Standing item at each committee meeting the composition, membership and Skills Audits analyses of the Corporation, including the number, composition and balance of interests represented on the Corporation and its committees and, when necessary, making recommendations for change to the Corporation.</p> <p><i>How effectively does the committee review the composition and number of members on the Corporation, and what evidence supports your judgment? What further information could be provided to assist this aspect of the committee's work?</i></p>	
3	<p>Advising the Corporation on the effectiveness of board search strategies. When a vacancy occurs, or is anticipated or identified for a Member, the Committee will research suitable candidates either by the placing of an open advertisement in regional or local media, or by initiating other alternative strategies. The Committee will assess candidates' suitability in accordance with explicit criteria for selection and established process, including a process of interview and confidential references. Interviews of candidates shall normally be delegated to a panel of two or three Corporation Members, and conducted in an informal manner (but within a formal framework, scoring understanding and potential to contribute to the work of the Corporation with regard to a schedule of relevant issues determined by the Committee from time to time).</p> <p><i>How effective have the recruitment strategies used this year been to attract members with the skills sought, and what evidence supports your judgment? Are there any further strategies that the committee should consider that have not yet been used?</i></p>	
4	<p>Advising the Corporation on the appointment of members (other than as a staff or student member, or Principal), making recommendations for each vacancy.</p> <p><i>Do members receive adequate information upon which to base their recommendations to the Corporation on appointment of new members? If not, what additional information would be sought?</i></p>	
5	<p>Reviewing the contribution of existing Members eligible for re-appointment, and for making recommendations to the Corporation. Data on attendance at Corporation and Committee meetings, college and training events, will form part of the review.</p> <p><i>Do members receive adequate information upon which to base their recommendations to the Corporation on the re-appointment of existing members? If not, what additional information would be sought?</i></p>	
6	<p>Overseeing the nomination process for student and staff members of the Corporation.</p> <p><i>How effectively has the committee overseen the nomination process for staff and student members, and what evidence supports your judgment? Is</i></p>	

	<i>there any additional information that would provide additional assurance to members on this aspect of their work?</i>	
7	<p>Advising the Corporation on the annual review of the Student Council Constitution and Code of Practice.</p> <p><i>How effectively has the committee advised the Corporation in its review of the Student Council Constitution and Code of Practice, and what is the evidence that supports your judgment? Is there any additional information that would enable the committee to improve the effectiveness of their advice to the Corporation?</i></p>	
8	<p>Reviewing the Skills Audits used by the Corporation, including a risk assessment and review of the criteria used within the Skills Audits.</p> <p><i>How effective is the Skills Audit in assisting the committee's review of the balance of skills on the Corporation and assisting its recommendations to the Corporation for the renewal of current members' terms of office and the appointment of new members? Are there any additional skills that should be added to the Skills Audit that were not identified in the last review of the Audit format or any additional information that would enhance the committee's oversight of risk?</i></p>	
9	<p>Advising on such other matters relating to membership and appointments as the Corporation may remit to the Committee.</p> <p><i>No further matters were remitted to the committee in the last twelve months over and above the committee's revised Terms of Reference.</i></p>	n/a

GOVERNANCE RESPONSIBILITIES

	Question	Response: 1 to 4
10	<p>Oversight of the completion and evaluation of the induction programme for Members. The Director of Governance will bring any significant proposals to change the agreed programme to the committee and report on the progress of individual Members' induction.</p> <p><i>What evidence illustrates the effectiveness of the committee's oversight of Members' induction? Would any additional information enhance the committee's oversight of this matter, and if so what would enable this?</i></p>	
11	<p>Making recommendations to Corporation on succession planning and reviewing the Corporation's Succession Policy.</p> <p><i>How effective have the committee's recommendations on succession been to the Corporation's succession, and what is the evidence that supports this view?</i></p>	
12	<p>Reviewing and making recommendations to Corporation on the Self-Assessment Strategy of the board.</p> <p><i>Did the committee receive adequate information to assist its review of the</i></p>	

	<p><i>Self-Assessment Strategy?</i></p> <p><i>(It is noted that the outcomes are not known at the time of this review – in future years, the committee will be asked: What evidence is there that the review of the Self-Assessment Strategy led to improvements in board performance?)</i></p>	
13	<p>Oversight of the effective completion of the resulting Board Improvement Plan (which includes governor training and development activities identified during self-assessment and appraisals that are designed to enhance the performance of the board, its committees and its individual members).</p> <p><i>(It is noted that the Board Improvement Plan 2012/13 is not yet created at the time of this review – in future years, the committee will be asked: What evidence is there that illustrates the effectiveness of this committee in its oversight of the effective completion of the resulting Board Improvement Plan)</i></p>	n/a
14	<p>Following the Director of Governance’s reviews of the Corporation byelaws i.e. Standing Orders, Governance and Delegation of Powers and the Corporation’s Code of Conduct, reviewing and making recommendations to the board on said documents, ensuring compliance with the Instrument and Articles of Government, the Audit Code of Practice, and other governance related legislation.</p> <p><i>What best illustrates the effectiveness of the committee’s recommendations to the Corporation following the review of the bye-laws?</i></p>	
15	<p>Keep the Instrument and Articles of Government under review and make recommendations to the board; and, at the request of the board, reviewing and where appropriate responding to consultation documents from external bodies e.g. BIS, SFA, AoC, that relate to issues of governance, or other matters that may impact upon governance.</p> <p><i>How effectively has the committee been informed of the legislative changes that have impacted on the Instrument and Articles over the period of this review? How effectively has the committee reviewed consultation documents brought to its attention during the period of this review?</i></p>	

Skills and Experience Audit



Name:

Skills and Knowledge evaluation

This evaluation centres on the strategic aims of the college and the board's key responsibilities. Individual governors are not expected to possess all the areas of knowledge and skills listed – it is the board itself that collectively needs to exhibit appropriate balance in these areas across its membership.

In completing this section, members are not required to make a judgement on their abilities by comparing themselves to someone who would be considered an 'expert' in the field but simply by sufficiency to fulfil the role of governor. The audit is designed to give a broad brush assessment of how a member's experience of the disciplines outlined would enable them to be an effective board member, to contribute to discussion, and to assist the Search and Governance Committee in future recruitment planning and recommendations for appointment.

Members should grade themselves against the following criteria for each subject under each heading:

- 1 = High level knowledge/experience
- 2 = Good knowledge/experience
- 3 = Working knowledge/experience
- 4 = Minimal/no knowledge/experience

Do you have knowledge and experience of ...**Grade 1-4**

SA1: to be an outstanding College that transforms lives through learning	
Strategic planning at board level or equivalent	
Strategic experience of dealing with performance management within an organisation (beyond operational day-to-day management)	
Working within the strategic management or governance of education	
Working with learners either in an educational or commercial training environment	
Developing a Quality Strategy at a strategic level of an organisation	
Strategically monitoring performance and the achievement of planned outcomes	
Sharing, seeking and developing best practice across an organisation	
Interrogating data and reported information at a strategic level	
Effective strategic level communication across an organisation	
SA2: maximising opportunities for business advantage and leading partnerships for learning	
Working strategically in collaborative partnerships at a local, regional or national level	
Working strategically with local community organisations and/or other groups who are stakeholders of the college	
Working with minority communities or a knowledge and understanding of minority communities at a strategic level	
Working with or a knowledge and understanding of local, regional, or national authorities at strategic or management level or as an elected member	
Working at middle or senior management level in Dacorum, Three Rivers and/or Watford	
Working with or within in local employer organisations	
A strategic understanding of local employment needs and skills gaps	
SA3: maximising the talent and expertise of West Herts College people	
Working with staff either in an education or commercial training environment, at a strategic level	
Working with or a knowledge and understanding of Continuous Professional Development (CPD) strategies	
Implementing equality and diversity policies and good practice	
Working with Human Resource issues at senior management level	
Working with trade unions or staff organisations	

SA4: maximising the potential of the Colleges' built and virtual environment	
Working in a commercial environment at a level which includes/d planning responsibilities	
Working on Estates and Property matters at a strategic level	
Working on Capital Building Projects at a strategic level	
Implementing/Leading Marketing strategies	
Implementing/Leading Community Engagement strategies	
Working within public sector bodies or those subject to high levels of regulation	
Working within or dealing with public sector financial environments and regulations	

SA5: to continue the financial investment required to sustain an outstanding College	
Accountancy and financial matters in a business/educational environment	
Developing financial and strategic planning for an educational or commercial institutions	
Educational and Public Funding	
Audit matters	
Risk Management	
Improving the diversification of the income stream of an organisation	
Improving value for money within an organisation	

Generic Skills	
Chairing a board (or equivalent at an equivalent strategic level)	
Chairing a committee (or group at an equivalent strategic level)	
Change management in a medium/large sized organisation	
Working on a board or equivalent as a member	
Working with a board or equivalent as a director / senior manager	
Working in a corporate team environment	

Please also indicate any particular field of legal expertise you have:

Please also indicate any particular field of experience, or potential, that you feel that you have that will assist you in your role as a governor at West Herts College:

Code Compliance: Comply or Explain Statements



**UK Corporate Governance Code and Foundation Code of Governance
Comply or Explain Statements**

UKCGC	Main Principles (all are underpinned in the UKCGC by Supporting Principles and detailed Code Provisions)	FCG	Replicated in its entirety	Comply or Explain: Self Assessment Statement and Example Source(s) of Evidence
	Section A Leadership			
A1	The role of the board Every company should be headed by an effective board which is collectively responsible for the long term success of the company.	1.1 1.2	Every College should be headed by an effective governing body... The governing body provides overall strategic leadership and takes all final decisions on strategic matters affecting the College. The governing body is responsible for determining the College's mission, educational character, values and ethos. ... Governors have a collective and unambiguous leadership role in fostering an environment that enables the College to fulfil its mission, for the benefit of learners and the community it serves.	Comply Example Sources of Evidence a) March Ofsted Inspection outcome 2010: Governance Outstanding b) Annual SAR and self assessment documentation c) Governance and Delegation of Powers d) Corporation Business Plan, including Strategic Meeting agendas e) Board papers e.g. Strategy approvals f) Board minutes e.g. strategic discussions and outcomes
A2	Division of responsibilities There should be a clear division of responsibilities at the head of the company between the running of the board and the executive responsibility for the running of the company's business. No one individual should have unfettered powers	1.4 2.5	The governing body should ensure that the respective functions of governance and management, and the roles and responsibilities of the Chair, the Principal, the Clerk and individual governors are clearly defined. The governing body's business should be conducted in accordance with agreed rules and procedures (often described as standing orders), which it should review and update on at least a	Comply Example Sources of Evidence a) Governance and Delegation of Powers (including committee terms of reference) b) Principal's Job Description c) Chair's Job Description d) Clerk's Job Description

UKCGC	Main Principles (all are underpinned in the UKCGC by Supporting Principles and detailed Code Provisions)	FCG	Replicated in its entirety	Comply or Explain: Self Assessment Statement and Example Source(s) of Evidence
	of decision.		biennial basis, and which should be publicly available.	e) Standing Orders
A3	The Chairman The chairman is responsible for leadership of the board and ensuring its effectiveness on all aspects of its role	1.1 2.4	...led by an effective chair... The governing body's business should be conducted to allow open discussion and debate.	Comply Example Sources of Evidence a) Governance and Delegation of Powers b) Chair's role description g) Annual SAR and self assessment documentation c) Board minutes
A4	Non-Executive Directors As part of their role as members of a unitary board, non-executive directors should constructively challenge and help develop proposals on strategy	1.1.	...the members of which are collectively responsible for formulating strategic priorities and providing direction within a structured planning framework	Comply Example Sources of Evidence: a) Corporation Business Plan b) Board papers and Board minutes, in particular those presented at Strategic meetings
	Section B Effectiveness			
B1	The Composition of the Board The board and its committees should have the appropriate balance of skills, experience, independence and knowledge of the company to enable them to discharge their respective duties and responsibilities effectively.	2.1. 2.1.1.	The governing body should determine the size and composition of its membership in accordance with its Instrument and Articles of Government. It should aim to: Achieve an appropriate balance of skills, experience and knowledge	Comply Example Sources of Evidence: a) Board approved composition of 15 members, including the Principal, two Student Governors and two Staff Governors b) Search & Governance Committee standing papers, including review of skills audit c) Recruitment strategies targeted at specific skills
B2	Appointments to the Board There should be a formal,	2.1.3	Have due regard for the benefits of diversity Establish its own clear rules for the appointment	Comply

UKCGC	Main Principles (all are underpinned in the UKCGC by Supporting Principles and detailed Code Provisions)	FCG	Replicated in its entirety	Comply or Explain: Self Assessment Statement and Example Source(s) of Evidence
	rigorous and transparent procedure for the appointment of new directors to the board.	2.1.4	and re-appointment of governors. These rules should be made publicly available. It should plan for succession for the office of Chair and other offices held by governors	<p>Example Sources of Evidence:</p> <ul style="list-style-type: none"> a) Recruitment strategies and promotional materials targeted at specific groups b) Appointment process: initial meeting with Clerk, interview with Chair and Principal, recommendation to Search & Governance Committee followed by recommendation to Corporation c) Re-appointment process: Chair provides annual report on outcomes of members' appraisals to the Search & Governance Committee; Committee considered each member individually for reappointment before making recommendation to Corporation d) Succession Policy for Governance (all five major Corporation offices were successfully refreshed in a twelve month period during 2011/12)
B3	<p>Commitment</p> <p>All directors should be able to allocate sufficient time to the company to discharge their responsibilities effectively.</p>	1.4	...Role descriptions should be made available and kept up to date. These should include an assessment of the time commitment required to undertake the role, both for governors generally and for the Chair and other governors holding offices or undertaking defined roles within the governance structure.	<p>Comply</p> <p>Example Sources of Evidence</p> <ul style="list-style-type: none"> a) Governor role description b) Chair's role description c) Recruitment material
B4	<p>Development</p> <p>All directors should receive induction on joining the board and should regularly update and refresh their skills and knowledge</p>	2.3	The governing body should require that an induction programme is in place, which requires that all new governors receive full induction to their roles and responsibilities. All governors should be expected to undertake further training and development, and opportunities for this should be provided regularly on an individual and collective	<p>Comply</p> <p>Example Sources of Evidence</p> <ul style="list-style-type: none"> a) Induction programme includes: <ul style="list-style-type: none"> a. Governance b. Finance c. Audit (for Audit members)

UKCGC	Main Principles (all are underpinned in the UKCGC by Supporting Principles and detailed Code Provisions)	FCG	Replicated in its entirety	Comply or Explain: Self Assessment Statement and Example Source(s) of Evidence
			basis.	<ul style="list-style-type: none"> d. Meeting with Chair e. Meeting with Principal f. Tour of campuses g. Induction evaluation including further training identified b) Attendance Record (identifies attendance at briefings, conferences, etc) c) Board briefings and information papers
B5	Information and Support The board should be supplied in a timely manner with information in a form and of a quality appropriate to enable it to discharge its duties	1.7	The Chair should ensure that the governing body receives appropriate, timely and high quality information in a form that allows it to monitor and scrutinise the College's activities effectively, and to challenge performance where required.	Comply Example Sources of evidence <ul style="list-style-type: none"> a) eGovernance (timeliness of information) b) PFA Audit report March 2010 c) Papers (evidence of information quality) d) Minutes (evidence of scrutiny)
B6	Evaluation The board should undertake a formal and rigorous annual evaluation of its own performance and that of its committees and individual directors	2.2 3.1 3.1.1	The governing body should ensure that governors have, between them, the necessary skills and experience to enable the governing body to undertake its role effectively on a sustainable basis. It should undertake a regular skills analysis as needed to identify areas of expertise in which it may be deficient, and develop strategies to make good any deficiency. A regular effectiveness assessment by a governing body should include consideration of: The performance of the College as a whole in meeting its strategic objectives. Appropriate key performance indicators should be used to benchmark the College's performance against comparable Colleges, wherever possible. The governing body should publish its overall assessment of performance annually	Comply Example Sources of evidence <ul style="list-style-type: none"> a) Skills Audit, standing item for review by Search & Governance Committee b) Approval of SAR and ensuing QIAP, with planned progress reports including KPIs c) Self Assessment Strategy, which includes: <ul style="list-style-type: none"> a. Individual Members' appraisals b. Review of Chair's performance c. Committee self assessment d. Board self assessment e. Periodic reviews as required of meetings and papers d) External evaluations: LSIS Learning

UKCGC	Main Principles (all are underpinned in the UKCGC by Supporting Principles and detailed Code Provisions)	FCG	Replicated in its entirety	Comply or Explain: Self Assessment Statement and Example Source(s) of Evidence
		3.1.3 3.2	The performance of the Chair and of other governors holding offices or undertaking defined roles within the governance structure The governing body should undertake a formal self-evaluation of its effectiveness as frequently as it determines is appropriate, but at least every three years.	Board piloted with WHC
B7	Re-election All directors should be submitted for re-election at regular intervals, subject to continued satisfactory performance	2.1.2 3.3	Acknowledge the value of refreshing its membership The Chair should ensure that the performance and effectiveness of all governors is assessed on an ongoing basis.	Comply Example Sources of evidence <ul style="list-style-type: none"> a) Maximum term of office four years; maximum target of two four year terms of office unless there are exceptional reasons for continuance b) Self Assessment Strategy includes members' appraisals c) Search & Governance Committee papers, including consideration of renewal of membership
	Section C Accountability			
C1	Financial and Business Reporting The board should present a balanced and understandable assessment of the company's position and prospects	1.7	The governing body should ensure that its decision-making processes are transparent, properly informed, rigorous and timely	Comply Example Sources of evidence <ul style="list-style-type: none"> a) College's Annual Report and Financial Statements b) Corporation Business Plan c) Board papers and minutes d) Non-confidential Corporation minutes published on the internet
C2	Risk Management and Internal Control The board is responsible for	1.7	...and that appropriate and effective systems of financial and operational control, and risk assessment and management, are established and	Comply Example Sources of evidence

UKCGC	Main Principles (all are underpinned in the UKCGC by Supporting Principles and detailed Code Provisions)	FCG	Replicated in its entirety	Comply or Explain: Self Assessment Statement and Example Source(s) of Evidence
	determining the nature and extent of the significant risks it is willing to take in achieving its strategic objectives. The board should maintain sound risk management and internal control systems.		monitored.	<ul style="list-style-type: none"> a) Current risks: included in paper templates b) Risk Register: standing item for review by Audit Committee c) Risk Register and Annual Report to Corporation d) Audit Fieldwork reports on Risk Management e) Audit Fieldwork reports on financial and operational control processes and systems f) PFA Audit March 2010 g) FMCE and arising Action Plan
C3	Audit Committee and Auditors The board should establish formal and transparent arrangements for considering how they should apply the corporate reporting and risk management and internal control principles and for maintaining an appropriate relationship with the company's auditor.	1.3	The governing body ensures compliance with the statutes, ordinances and provisions that form the College's governance, regulatory and accountability framework, and must comply with the requirements of the College's Instrument and Articles.	<p>Comply</p> <p>Example Sources of evidence</p> <ul style="list-style-type: none"> a) Annual Audit Plan reviewed by Audit Committee b) FMCE and arising Action Plan c) Annual review of Corporation Bye-laws by Clerk (now includes the Instrument and Articles of Government) d) Audit Committee meet both auditors annually without management team present
	Section D Remuneration			
D1	The level and components of Remuneration Levels of remuneration should be sufficient to attract, retain and motivate directors of the quality required to run the company			<p>Comply</p> <p>Example Sources of evidence:</p> <ul style="list-style-type: none"> a) Chair's appraisal of performance of Principal and Clerk b) Corporation report on Senior Post

UKCGC	Main Principles (all are underpinned in the UKCGC by Supporting Principles and detailed Code Provisions)	FCG	Replicated in its entirety	Comply or Explain: Self Assessment Statement and Example Source(s) of Evidence
	<p>successfully, but a company should avoid paying more than is necessary for this purpose.</p> <p>A significant proportion of executive directors' remuneration should be structured so as to link rewards to corporate and individual performance.</p>			<p>Holder appraisals by Chair and Principal, includes information on the remuneration of all directors</p> <p>c) Chair and Principal recommendations on SPH remuneration include review of AoC Annual Remuneration Surveys</p> <p>d) Individual annual pay awards are directly linked to the outcome of individual performance appraisals for all college staff, including SPHs and Directors</p> <p>Explain: Corporate performance related targets linked to a bonus reward for SPHs and Directors were withdrawn two years ago</p>
D2	<p>Procedure</p> <p>There should be a formal and transparent procedure for developing policy on executive remuneration and for fixing the remuneration packages of individual directors.</p> <p>No director should be involved in deciding his or her own remuneration.</p>			<p>Explain: All college staff are subject to the same procedure for remuneration i.e. linked to individual appraisal outcomes</p> <p>Comply</p> <p>Example Sources of evidence</p> <p>a) Corporation papers and minutes on SPH remuneration (individuals required to leave during discussions)</p>
<p>Section E Relations with</p>				

UKCGC	Main Principles (all are underpinned in the UKCGC by Supporting Principles and detailed Code Provisions)	FCG	Replicated in its entirety	Comply or Explain: Self Assessment Statement and Example Source(s) of Evidence
	Shareholders			
E1	Dialogue with Shareholders There should be a dialogue with shareholders based on the mutual understanding of objectives. The board as a whole has responsibility for ensuring that a satisfactory dialogue with shareholders takes place.	1.8	The governing body is accountable to its learners, to the wider community it serves, and to other stakeholders. It should have close regard to the voice of its learners. It should agree and maintain a public value statement that describes how the College seeks to add value to the social, economic and physical well-being of the community it serves. It should take steps to ensure that information on the activities of the College is made widely available and to forge effective relationships with stakeholders.	Comply Example Sources of evidence <ul style="list-style-type: none"> a) Board Engagement Protocol b) Learner Engagement Strategy c) Employer Engagement Strategy d) Community Engagement Strategy e) Board reports on the outcomes of the above strategies f) Survey reports e.g. Students, Staff, Employers Explain: The Corporation has yet to decide on its approach to and to agree a public value statement
E2	Constructive Use of the AGM The board should use the AGM to communicate with investors and to encourage their participation.			Explain: The Corporation is not legally obliged to hold an AGM and does not have "investors".
			Additional within the FGC	
		1.5	The governing body should establish, and require governors to follow, a Code of Conduct, which has regard to the accepted standards of behaviour in public life of leadership, selflessness, objectivity, openness, integrity, honesty and accountability.	Comply Example Sources of evidence <ul style="list-style-type: none"> a) Code of Conduct
		1.6	Governors should exercise their responsibilities in the best interests of the College, rather than selectively or in the interests of a particular constituency, setting an example to the colleagues and stakeholders.	Comply Example Sources of evidence <ul style="list-style-type: none"> a) Register of Interests, annually updated b) Declaration of Interests (Standing Item

UKCGC	Main Principles (all are underpinned in the UKCGC by Supporting Principles and detailed Code Provisions)	FCG	Replicated in its entirety	Comply or Explain: Self Assessment Statement and Example Source(s) of Evidence
				for each Corporation and Committee meeting)
		2.4	Information and papers should only be restricted when this is considered necessary to protect the interests of the College or the wider public interests, including the observance of contractual obligations or disclosing an individual's personal details.	Comply Example Sources of evidence a) Publication of Minutes and Paper of the Corporation and its committees – Section 5 Standing Orders b) Corporation agenda template
		3.1.2	(A regular effectiveness assessment by a governing body should include consideration of) The reputation of the College and the views of stakeholders	Comply Example Sources of evidence a) SAR b) Survey reports e.g. Students, Staff, Employers