Chanel College

policies, protocols and practices for exceptional governance

Review for Accountability

Review of Governance Framework for Accountability

An important role of the board is to ensure both conformance and performance of the organisation. The board needs to be assured that all policies are complying with legislation and sector requirements and also progressing towards and achieving the goals of the mission and strategic plan. Following is an Evaluation Plan which identities the area of review, a suggested frequency, and also some idea about how information might be collected.

a.   Determine **how often** you will carry out a particular review and **when** the review will occur.
b.   Decide **who** will collect the data and write the report for the board. Choose from a committee of the board, the chief executive or a contracted expert
c.   Put the review items onto the **Board Calendar of Work.**
d.   Adapt and use the templates provided to collect, analyse and report on performance. This is the assurance you need that the board is meeting its legal and policy obligations.

Area of Policy Review	Focus	Questions to ponder	Suggested Frequency	Data gathered by:
Policy: Board Process	Board-effectiveness in understanding governance; role description	What value does the board add?	Annually	Self-assessment survey
	Trustee-Code of conduct	Does each trustee live to the code of conduct?	Annually	Assessment against code of conduct by chair/audit committee/chief executive
	Chair-role description	Are meetings well run? Does the board have processes that enable the desired outcomes?	Annually	Assessment by trustees
	Meetings-effectiveness	Are our meetings effective and strategic?	Every meeting for 3 meetings then 1x a year	Survey
	Community partnership	What mechanisms do we have in place to hear the parent voice? How do we communicate what we are doing on their behalf?	A small sample weekly?; big survey every 2-3 years	Survey Community meetings Website presence School newsletter presence
Policy: Link with CE	Leadership and Management of CE	Is the day-to-day management delivering the required outcomes?	Performance management and annual appraisal	Performance agreement
Policy: Oversight of Operations	Curriculum/service/ products Planning & Reporting Personnel Finance & Assets Health & safety Legal requirements	Do we have "Success for all"? Are we reporting to stakeholders effectively? Are we good employers? Does our budget reflect strategic priorities? Are all in a safe and in a healthy environment? Did we meet all legal requirements?		By: CE Board or committee External Expert Through: Attestation Survey, key indicators; Reports Dashboard reporting.
Policy: Vision & Goals	Projects, initiatives, programmes, results	Are the initiative results as planned? Are our programmes effective?	Quarterly report by CE [or their delegate]	Results, key indicators, reports

1. Board Outcomes

Board Effectiveness (Annual Checklist Template)

Board Self Assessment Checklist	YES	NO	DON'T KNOW	DOESN'T APPLY
Our mission/vision/purpose statement clearly tells what we want to achieve				
Our values and beliefs are clearly stated and reflected in all our programmes and activities				
The roles of Board members and Staff complement each other, and do not conflict.				
Our board and committee meetings are well-attended				
Conflicts among board members do not interfere with the Board's work.				
The Board has adequate measures to prevent conflicts of interest.				
Most Board members attend our special events				
The Board's relationship with the CEO is one of mutual trust and respect				
Our financial expenditures are in line with our objectives and priorities.				
Our financial monitoring and control systems enable us to quickly identify errors and issues				
Our personnel practices and procedures provide adequate protection from, and recourse for, acts of abuse or harassment.				
Our stakeholders are kept aware of our major decisions and financial condition.				
The Board provides adequate orientation, training, and evaluation for Board members, staff, and volunteers.				
We have reason to be optimistic about our ability to deal with whatever the future brings in the next 3 years.				
I am proud to be a member of this board.				

Meetings Effectiveness [Survey Template]

The Board will evaluate the effectiveness of their meetings for the first three meetings of the board and from there on, every six months unless evidence suggests more often.

Board Meeting Evaluation [Example]	
Use during the meeting so you can see what's happening and make corrections immediately	
Pre-meeting materials were concise and helpful	No 1 2 3 4 5 Yes
Everyone arrived well prepared.	No 1 2 3 4 5 Yes
The meeting agenda is well prepared.	No 1 2 3 4 5 Yes
The issues covered today were	Trivial 1 2 3 4 5 Important
Today's discussions were mainly	Operations 1 2 3 4 5 Policy and Strategy
We stay focused and on the subject.	No 1 2 3 4 5 Yes
When we disagree we do not become disagreeable.	No 1 2 3 4 5 Yes
In this meeting we are largely proactive rather than reactive.	No 1 2 3 4 5 Yes
What or who helped this meeting go well?	
What or who hindered this meeting from going well?	
Date Name	

Meetings Effectiveness [Survey Template]

Chair Effectiveness (Achieved/Not Achieved Template)

1.   To provide leadership for the board.   **Achieved / Not Achieved**

As a "first among equals" the Chair is expected to lead the board whilst being mindful that the Chair cannot act independently of the board unless through a delegated authority. It is important that the chairperson ensures that correct process is followed and that the board continues to work towards achieving its goals. Whilst this sounds common sense, simply having documentation in place is no assurance that it is being implemented. In order to do this effectively the Chair must have a clear understanding of the board and its processes. Understanding the vision of the organisation and how it is to be achieved is a vital element in effective leadership of the board.

2.   To ensure that the work of the board is completed.   **Achieved / Not Achieved**

The chair is responsible for ensuring the work of the board gets done, and for overseeing the activities of other trustees. This does not mean that they are responsible for doing this work .

3.   To effectively organise and chair board meetings.   **Achieved / Not Achieved**

The chairperson has a key role in ensuring that meetings run smoothly, that trustees conduct themselves appropriately, and that the board acts as a unified body. The chairperson must run meetings within the agreed procedures set down by the board. Surprises at board meetings do not support good trusteeship or good management. It is up to the chairperson to ensure that an agenda is prepared before the meeting and made available.

4.   To ensure that the board works as a team.   **Achieved / Not Achieved**

Trustees need to know what they are there for and what they are trying to achieve. By including all trustees in decision making the chairperson is creating an environment of unity and common purpose. The chair needs to motivate trustees by ensuring that their differing views are heard and that individuals feel valued for the contribution they bring to the team. They need to feel supported in their role, kept well informed and be upskilled where necessary. A hallmark of an effective team is the reflection that it does on how well it is working and what changes in practice need to be made for further improvement to occur. Personal disagreements are bound to arise from time to time and can be part of healthy debate and decision making. Differences of opinion must be dealt with openly and honestly. Once the board decides on a matter these disagreements should not be reopened or discussed outside the meeting. Trust and mutual respect are again vital ingredients of this teamwork.

5.   To be the spokesperson for the board.   **Achieved / Not Achieved**

The chairperson is responsible for communicating policy and appropriate Board decisions to the community.

Finance Effectiveness (Questions Template)

	CHECK	COMMENT
1. Is our cash flow projected to be adequate?		
2. Are our cash-flow projections reasonable, objective, and not overly to optimistic?		
3. Do we have sufficient reserves?		
4. Are we regularly comparing our actual financials to what has been budgeted?		
5. What are the internal controls over expenditures?		
6. Do we have an external audit?		
7. Does our annual audit include a Management Letter?		
8. Are our key sources of income rising or falling?		
9. What is our investment policy?		

2. Chief Executive Outcomes

This would be the CE Appraisal Report to the board, along with the quarterly reports of progress on the annual goals.

Principal Report On Progress (Template)

Key Result Area	Running Record	Issues for Attention or Discussion
Strategic Goal #1: eg Improve literacy levels at all levels OR Improve academic results at all levels • 85% Year 6 at or above NS • 85% Year 8 at or above NS • 95% attendance/punctuality • All gender differentials under 5% • All students below/well below move at least one stage OR • Level 1 pass rate of 85% • Level 2 pass rate of 85% • Level 3 pass rate of 75% • 25 Scholarship passes • All gender differentials under 5%	• Current results show we have lifted the 4 'well below' standard to 'below' or 'at' the standard. • There is concern that one student who was 'above' the standard has slipped back to 'at' the standard. • The DP has developed a strategy to work with our talented students to ensure they stay engaged. Will provide information about this at the next meeting.	Consider professional development budget and focus for next year.
Strategic Goal #2: Eg Improve literacy levels for Maori/Pasifika students OR Improve results at all levels for Maori/Pasifika students • 85% Year 6 Maori/Pasifika at or above NS • 85% Year 6 Maori/Pasifika at or above NS OR • Maori and Pasifika students' NCEA results match those for all students • Pasifika students leave with a Level 2 or Level 3 NCEA Certificate	• We are in dialogue with the local whanau and have support for the homework centre.	

CE Appraisal Report

Goals (from Agreement)	Summative Report	Formative report

_____Appraiser/Date _____Chief executive/Date

Principal Report to the Board Meeting

1   <u>Current significant issues for discussion</u>

- Items that the principal wishes to canvass the board for their ideas and input. Not just for information [that goes later].

2   <u>Matters for Approval</u>

- Any matters for which the principal is seeking approval

- May include specific issues related to CEO issues such as leave, expenses etc

3   <u>Update on Strategic Plan Implementation</u>

- updates on strategic plan

- major reviews on progress every three months

- comment in greater detail on the performance of a particular curriculum area / year level

- update particular initiatives

- A variance report should outline actions being taken for items which are varying from expectations.

4   <u>Risk and Compliance Update</u>

- Update on risk and compliance management

- A brief update on any significant outcomes from ongoing work

- Risk and Compliance Incidents

- A brief outline of any incident or activity which is outside the agreed standards eg H&S, complaints

- Dashboard data

5   <u>Matters for Noting</u>

- Any issues you wish to bring to the board's attention but which are unlikely to require discussion eg visitors, CEO significant meetings

3. Operational Outcomes

Attestation by CE eg Personnel (Template)

Any of the Operational Policies could be reviewed by an attestation by the CE. For example, personnel.

- ☐ All staff are employed on an employment agreement.
- ☐ All required staff are registered.
- ☐ All staff have undergone an annual performance appraisal within the last 12 months and have a professional development programme as a result of this.
- ☐ Staff are informed of the grievance process
- ☐ EEO requirements are met
- ☐ Privacy Act requirements are met and the personal files are secure
- ☐ The school is a smoke free environment.

I attest that the above legal personnel requirements have been met.

_____

CE /Date

Survey Of Those Affected by the policy eg Personnel

Any of the Operational Policies could be reviewed by a survey by the CE or a committee of the board.

Results and trends:

Recommendations for board consideration:

	Yes	No	Don't know
1. I am employed on an employment agreement.			
2. I am registered.			
3. I have undergone an annual performance appraisal within the last 12 months and have a professional development programme as a result of this.			
4. I have been informed of the grievance process.			
5. I know that EEO requirements are met.			
6. I know that the Privacy Act requirements are met and my personal files are kept securely.			
7. The organisation is a smoke free environment.			

Comments

Audit Committee Chair OR CE / Date

Key indicator eg health and safety template

Any of the Operational Policies could be reviewed by a collection of key information data by the CE or a committee of the board.

Results and trends:

Recommendations for board consideration:

Data collected

Key criteria eg	200x	200y	200z
Time taken to fix reported hazards			
Number of accidents			
Number of bullying incidents			
Risk management strategies in place for all EOTC trips			
Emergency drills held (dates)			
etc			

Audit Committee Chair OR CE / Date

Project/Curriculum Report by the CE template

Project Report: Review OF........................
Presented on [date]....................by.....................

Background:
This could include information on:
Organisational structure, Numbers: growing, decreasing, staying the same, Services

Strengths & weaknesses?
What are we doing well? What could we do better? What opportunities do we take advantage of? [eg co-operative ventures, technology].

Trends or patterns?
[Data and evidence of progress or issues].
What trends or patterns did the data reveal? Are there any groups over or underrepresented in specific areas?
Are gaps between identified groups growing, staying the same or closing?
When you examined the achievement data what did you see as strengths and weaknesses? Were these results expected? What benchmarks did you use to come to these conclusions?
What questions does the data raise? What performance goals for do you have? Are you on track to meet or exceed them? Why or why not?

The future
If you were to walk into this organisation in five years time what would you hope:
- The service/product would be like?
- The staff would be like?
- The results would be like?
- The organisation would be doing differently?

As a result of information in this report what are your plans now? What, for you, is the most important thing for this project to concentrate on in the next 1-3 years?

Recommendations
Is there anything the board needs to consider at a governance level to support staff in this effort?