

Code of Practice for the Governance of State Bodies

Board Self-Assessment Evaluation Questionnaire

August 2016

Board Self-Assessment Evaluation Questionnaire

To be completed by the Chairperson and each Board member of the State body

Instructions for Completion:

The intention is that each Board member will complete this self-assessment questionnaire independently. The Chairperson of the Board, after collating and reviewing the responses, should lead a discussion on the key issues arising from the questionnaire. The focus of the discussion should be on areas where improvement is required or where there is a wider variation in responses to the issues raised in the questionnaire.

The results of the self-assessment questionnaire and any actions arising should be reported to the Board for further discussion. State bodies may wish to tailor this self-assessment questionnaire to the particular circumstances of the State body giving more weight to certain aspects of the questionnaire depending on the nature, scale and responsibilities of the particular State body. This will be influenced by the following factors:

- The State body's governing legislation;
- The Boards terms of reference;
- The environment within which the State body operates e.g. commercial, non-commercial or regulatory body;
- The maturity of the Board; and
- The organisations corporate governance arrangements and performance.

Scoring is as follows:

1 = Very Dissatisfied

2 = Dissatisfied

3 = Neither Satisfied nor Dissatisfied

4 = Satisfied

5 = Very Satisfied

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Role of the Board	Score					What could be done differently?
	Dissatisfied			Satisfied		
1. Are you satisfied that 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)	1	2	3	4	5	
2. Are you satisfied that the formal schedule of matters reserved for decision by the Board is up-to-date and reviewed regularly?	1	2	3	4	5	
3. Are you satisfied that the Board, as a group, understands its role and responsibilities including its stewardship role?	1	2	3	4	5	
4. Are you satisfied that 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)	1	2	3	4	5	
5. Are you satisfied that the Board has ensured that the Chairperson keeps the relevant Minister advised of matters arising in respect of the State body? (1.6)	1	2	3	4	5	
6. Are you satisfied that 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)	1	2	3	4	5	
7. Are you satisfied that 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)	1	2	3	4	5	
8. Are you satisfied that 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)	1	2	3	4	5	
9. Are you satisfied that Board members have a sufficient understanding of the State body and the sector within which it operates?	1	2	3	4	5	
10. Are you satisfied that the Board has put in place a formal process for setting strategy including the preparation and adoption of a strategic plan? (1.15)	1	2	3	4	5	
11. Are you satisfied that 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? (1.19)	1	2	3	4	5	
12. Are you satisfied that the State body's mission and vision have been defined and communicated to all levels within the organisation?	1	2	3	4	5	

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Oversight Agreement		Score					What could be done differently?
		Dissatisfied		Satisfied			
13.	Are you satisfied that the State body has a robust written 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)	1	2	3	4	5	
Division of Responsibilities		Score					What could be done differently?
		Dissatisfied		Satisfied			
14.	Are you satisfied that the respective roles of the Chairperson and CEO of the State body have been established and documented by the Board? (1.24)	1	2	3	4	5	
Board Effectiveness		Score					What could be done differently?
		Dissatisfied		Satisfied			
15.	Are you satisfied that 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)	1	2	3	4	5	
16.	Are you satisfied that Board members are provided with appropriate inductions, mentoring and assistance with ongoing professional development by the Secretary of the Board, as required? (3.10)	1	2	3	4	5	
17.	Are you satisfied that a culture of openness and debate is promoted in the State body and that 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)	1	2	3	4	5	
18.	Are you satisfied that the Board meets sufficiently regularly, that the duration of meetings is sufficient, and that the meeting format is adequate to enable the Board to discharge its duties effectively? (1.7)	1	2	3	4	5	
19.	Are you satisfied that 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?	1	2	3	4	5	
20.	Are you satisfied with the quality of the Board papers and minutes (e.g. not overly lengthy, clearly explain the key issues and priorities, consistent, timely)?	1	2	3	4	5	

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21.	Are you satisfied that the Board spends the majority of its time on strategic issues and not day-to-day management responsibilities?	1	2	3	4	5	
Codes of Conduct and Conflicts of Interests		Score					What could be done differently?
		Dissatisfied				Satisfied	
22.	Are you satisfied that updated Codes of Conduct are approved by the Board and circulated to all Board members, management and employees? (5.1)	1	2	3	4	5	
23.	Are you satisfied that the procedures relating to the disclosure of Board members interests are complied with? (5.8)	1	2	3	4	5	
24.	Are you satisfied that 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)	1	2	3	4	5	
Business and Financial Reporting		Score					What could be done differently?
		Dissatisfied				Satisfied	
25.	Are you satisfied 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)	1	2	3	4	5	
26.	Are you satisfied that the Board ensures timely and accurate disclosure is made to the relevant Minister on all material matters regarding the State body? (6)	1	2	3	4	5	
Risk Management, Internal Control, Audit and Risk		Score					What could be done differently?
		Dissatisfied				Satisfied	
27.	Are you satisfied that 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)	1	2	3	4	5	
28.	Are you satisfied that 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)	1	2	3	4	5	

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29.	Are you satisfied that the Board undertakes an annual review of the effectiveness of internal control systems, including such items as presented in paragraph 7.4 of the Code of Practice? (7.4)	1	2	3	4	5	
Performance Evaluation		Score					What could be done differently?
		Dissatisfied				Satisfied	
30.	Are you satisfied that the Board undertakes an annual self-assessment evaluation of its own performance and its committees? (4.6)	1	2	3	4	5	
31.	Are you satisfied that issues arising from the evaluation are followed up and that the evaluation process enhances Board effectiveness?	1	2	3	4	5	
The Board's Relationship with Management		Score					What could be done differently?
		Dissatisfied				Satisfied	
32.	Are you satisfied that there are appropriate delegation authorities in place for management and that they are regularly reviewed?	1	2	3	4	5	

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