

## Appendix 3

## Survey Results

Theme	Board Survey	Overall Rating
Theme # 1	Role of the Board	3.6
Theme # 2	Oversight Agreement	3.4
Theme # 3	Division of Responsibilities	3.9
Theme # 4	Board Effectiveness	3.5
Theme # 5	Codes of Conduct and Conflicts of Interest	3.7
Theme # 6	Business and Financial Reporting	3.9
Theme # 7	Risk Management Oversight	3.6
Theme # 8	Performance Oversight	3.6
Theme # 9	Relationship with Management	3.8
Theme # 10	Board Member - Evaluation	3.8
<b>Overall</b>	<b>Overall Summary Score</b>	<b>3.7</b>

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<p style="text-align: center;"><b>Theme # 1</b></p> <p style="text-align: center;"><b>Role of the Board</b></p>	<p style="text-align: center;"><b>Low</b></p>	<p style="text-align: center;"><b>High</b></p>	<p style="text-align: center;"><b>Board Rating</b> <b>(from 1-4)</b></p>
<p>The Legal Aid Board has a Mission Statement and Board members share a common understanding of this Statement which has been discussed in detail by Board members.</p>	3	4	3.9
<p>Board members understand the organisation's Strategy Statement / Strategic Plan, in terms of where the Legal Aid Board wants to be in the next 3 - 5 years.</p>	3	4	3.6
<p>All Strategic and Policy Items are discussed by the Board within the framework of the Legal Aid Board's strategy / Strategic Plan?</p>	3	4	3.8
<p>Legal Aid Board has a formal process for its Strategic Plan, with defined timelines and content, which is jointly owned by the Board and management and is actively discussed by the Board before final approval.</p>	3	4	3.6
<p>The Legal Aid Board's Strategy Statement / Strategic Plan is robust, delivering a clear plan of initiatives linked to the Legal Aid Board's Mission Statement and long term plans and has been agreed with the Minister and Department.</p>	3	4	3.5
<p>There is a clear and definite process for the selection of the Chairman of the Board</p>	2	4	3.1
<p>There is clear, well-understood and generally accepted process in place for the selection of the Chairman of each Sub Committee.</p>	2	4	2.7
<p>Board members receive sufficient information and support from the Board Secretary.</p>	4	4	4.0
<p>The Secretary ensures the Board has easy access to internal and external sources of information, training and advice, as required.</p>	2	4	3.7
<p>The Board has adequate Secretariat support.</p>	4	4	4.0
<p>The Board maintains a schedule of 'Matters Reserved for the Board' which is clearly understood by members and applied through the workings of the Board.</p>	3	4	3.7
<p>Sub-committees are appropriate, have formal Terms of References, understand their roles and responsibilities and are aligned with the Legal Aid Board's strategic goals.</p>	3	4	3.9

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A formal letter of appointment and induction programme are provided to new Board members.	2	4	3.6
The Board has an appropriate mix of diversity.	3	4	3.6
New Board members are perceived as a positive addition to the Board.	3	4	3.7
Term limits for Board members are clearly defined and followed and are appropriate to ensure the balance of incorporating new skills while retaining experience.	2	4	3.2
The board has a formal process in place for succession planning and for competency-based recruitment of new Board members.	1	4	2.7
The Legal Aid Board's objectives and operations accurately reflect its obligations and commitments to stakeholders.	3	4	3.9
<b>Role of the Board – Overall</b>			<b>3.6</b>

Table 4: Theme #1 – Role of the Board - Survey Results

<b>Theme # 2 Oversight Agreement</b>	<b>Low</b>	<b>High</b>	<b>Board Rating (from 1-4)</b>
The Legal Aid Board has a formal Oversight Agreement with the Department, which clearly sets out the terms of the Legal Aid Board's relationship with the Minister and Department.	2	4	3.4
<b>Oversight Agreement - Overall</b>			<b>3.4</b>

Table 5: Theme #2 – Oversight Agreement - Survey Results

<p align="center"><b>Theme # 3</b> <b>Division of Responsibilities</b></p>	<p align="center"><b>Low</b></p>	<p align="center"><b>High</b></p>	<p align="center"><b>Board Rating (from 1-4)</b></p>
<p>The respective roles of the Chair and CEO are established, clearly understood and are documented by the Board.</p>	<p align="center">3</p>	<p align="center">4</p>	<p align="center">3.9</p>
<p>The Board and management have a clear understanding of their respective roles and open communication exists between both parties through the CEO and/or Board Secretary.</p>	<p align="center">4</p>	<p align="center">4</p>	<p align="center">4.0</p>
<p><b>Division of Responsibilities – Overall</b></p>			<p align="center"><b>3.9</b></p>

*Table 6: Theme #3 – Division of Responsibilities - Survey Results*

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<p align="center"><b>Theme # 4</b> <b>Board Effectiveness</b></p>	<p align="center"><b>Low</b></p>	<p align="center"><b>High</b></p>	<p align="center"><b>Board Rating</b> <b>(from 1-4)</b></p>
<p>The Board is comprised of people with the appropriate competencies, commitment and enthusiasm to operate effectively in meeting the Legal Aid Board's strategic goals.</p>	<p align="center">4</p>	<p align="center">4</p>	<p align="center">4.0</p>
<p>The Legal Aid Board is supported by the right number and mix of Board Sub-committees, enabling the Board carry out its oversight role effectively and comprehensively.</p>	<p align="center">3</p>	<p align="center">4</p>	<p align="center">3.9</p>
<p>Board members receive appropriate inductions and the required level of training and professional development required to help execute their role effectively.</p>	<p align="center">2</p>	<p align="center">4</p>	<p align="center">3.4</p>
<p>The Chair leads the Board in ensuring effective governance, with codes of practice formally adopted and fully implemented.</p>	<p align="center">3</p>	<p align="center">4</p>	<p align="center">3.9</p>
<p>The Board is fully aware of who its key Stakeholders are and actively engages with these Stakeholders.</p>	<p align="center">2</p>	<p align="center">4</p>	<p align="center">3.6</p>
<p>Board meetings are well structured with a defined calendar of meetings, supported with a clear Agenda and appropriate pre-reading is received in a timely manner, at least one week in advance of the Board meeting.</p>	<p align="center">4</p>	<p align="center">4</p>	<p align="center">4.0</p>
<p>The number of Board meetings per annum is the right number to enable the Board effectively fulfil its responsibilities and to conduct all of its business.</p>	<p align="center">3</p>	<p align="center">4</p>	<p align="center">3.9</p>
<p>The Agenda for Board meetings fully reflects the business requiring Board time and meetings follow the Agenda with ample time being assigned to all Agenda items.</p>	<p align="center">3</p>	<p align="center">4</p>	<p align="center">3.7</p>
<p>Board meetings are held at the right time and for the correct duration, allowing all Board members to actively participate in, and successfully conclude the business set out in the Agenda for each meeting.</p>	<p align="center">3</p>	<p align="center">4</p>	<p align="center">3.7</p>

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A formal decision making process is in operation which enable the right decisions be made by the Board in a timely and effective manner.	3	4	3.7
Board meetings are accurately documented and published Board Minutes accurately reflect the discussion at each Board meeting.	4	4	4.0
Board members have a period of private time at meetings (where management are not present).	3	4	3.6
Board meetings are productive and participative and effectively connect the members of the Board.	4	4	4.0
The Chairman ensures that all Board members are given the opportunity to actively contribute to issues and discussions. Meaningful discussions take place and conflicting opinions are welcomed and discussed.	3	4	3.9
The Board is of an appropriate size to operate effectively.	3	4	3.8
Board members are appropriately consulted in the CEO selection process.	1	2	1.7
The Board has a formal process in place for succession planning in relation to the CEO and any other senior positions, including identifying and developing potential internal candidates.	1	4	2.6
The Board has a formal process in place for receiving unfiltered feedback (i.e. not solely through management channels) from Stakeholders which is discussed at Board meetings.	2	4	2.6
The Board has developed a good working relationship with its key Stakeholders.	2	4	3.5
<b>Board Effectiveness – Overall</b>			<b>3.5</b>

Table 7: Theme #4 – Board Effectiveness - Survey Results

<b>Theme # 5 Codes of Conduct and Conflicts of Interest</b>	<b>Low</b>	<b>High</b>	<b>Board Rating (from 1-4)</b>
The Legal Aid Board has an effective Code of Conduct, updated and approved annually by the Board, which is circulated to all Board members, management and employees.	3	4	3.7
The Legal Aid Board has an effective procedure in place for confidential reporting and there is a meaningful follow-up by the Board of matters raised.	2	4	3.4
The Legal Aid Board maintains an effective working policy for disclosure of interests on the part of Board members and Senior Managers.	4	4	4.0
The Legal Aid Board has an effective working policy for managing conflicts of interests.	3	4	3.9
<b>Codes of Conduct and Conflicts of Interest - Overall</b>			<b>3.7</b>

*Table 8: Theme #5 – Codes of Conduct - Survey Results*

<b>Theme # 6 Business and Financial Reporting</b>	<b>Low</b>	<b>High</b>	<b>Board Rating (from 1-4)</b>
The Board is confident, that under the Legal Aid Board's statutory reporting obligations and stakeholder commitments, there is full, transparent and accurate reporting on the Legal Aid Board's affairs within its annual financial statements.	4	4	4.0
The Board recognises that it is the role and responsibility of Board members to approve the annual financial statements.	4	4	4.0
Board members are aware of their financial compliance obligations. Independent audits of the organisation's financial statements and controls are performed at least annually. Feedback from auditors is addressed by the Board / Finance Committee with corrective actions being monitored.	3	4	3.9
Board has delegated to the Finance Committee the responsibility to receive management accounts regularly which are discussed and reviewed at Committee meetings.	2	4	3.8
The Board has delegated to the Finance Committee the responsibility of being actively involved in the preparation of a 12 month budget and linked Business Plan, which is subsequently reviewed and challenged by the Finance Committee.	2	4	3.8
The Board is regularly updated on key financial matters and on the annual financial statements.	4	4	4.0
The Board provides effective oversight of the Legal Aid Board's compliance with all relevant legal, statutory and regulatory requirements and its obligations to stakeholders.	3	4	3.9
<b>Business and Financial Reporting – Overall</b>			<b>3.9</b>

*Table 9: Theme #6 – Business & Financial Reporting - Survey Results*

<b>Theme # 7 Risk Management Oversight</b>	<b>Low</b>	<b>High</b>	<b>Board Rating (from 1-4)</b>
The Legal Aid Board has an effective Risk Management Framework and Risk Policy in operation across the organisation, for the management of risk within the Legal Aid Board, and this Framework and Policy is reviewed at least annually by the Board.	3	4	3.8
The Board provides effective oversight of Risk across all relevant categories.	3	4	3.7
The Board has a fit-for-purpose Risk Register which is regularly updated by Management and is reviewed on a periodic basis by the Audit & Risk Committee.	3	4	3.8
The Board Agenda includes Risk (Top Strategic / Corporate Risks) as a standing item for all meetings.	3	4	3.0
The Board frequently (at least annually) reviews potential sources of financial risk to the Legal Aid Board and plans mitigating actions. Surprises are few within the organisation.	3	4	3.7
The risk framework and policy in relation to non-financial risk management within the Legal Aid Board are adequate and are working effectively.	3	4	3.5
The organisation has in place an Internal Audit function that is afforded senior status within the Legal Aid Board, that operates with full transparency and independence and that reports directly to the Audit & Risk Committee.	3	4	3.8
<b>Risk Management Oversight – Overall</b>			<b>3.6</b>

Table 10: Theme #7 – Risk Management Oversight - Survey Results

<b>Theme # 8 Performance Oversight</b>	<b>Low</b>	<b>High</b>	<b>Board Rating (from 1-4)</b>
The Board has a formal set of concrete deliverables and KPIs which are aligned to the Legal Aid Board's Mission Statement and Strategic Plan and can be used to assess the Legal Aid Board's performance.	3	4	3.5
Presentations and document submissions from management to Board meetings are presented in a professional, concise and understandable format.	4	4	4.0
There is an appropriate balance in the allocation of time at Board meetings, between Executive Submission and Board Discussion.	2	4	3.6
The Board provides effective oversight of the Legal Aid Board's Performance across all relevant parameters.	2	4	3.8
Evaluation of the CEO's performance is a formal process, carried out by the Board, occurs on a timely basis at least once annually.	3	4	3.7
There is a formal process in place for evaluating the performance of the Board.	2	4	3.2
<b>Performance Oversight – Overall</b>			<b>3.6</b>

*Table 11: Theme #8 – Performance Oversight - Survey Results*

<b>Theme # 9 Relationship with Management</b>	<b>Low</b>	<b>High</b>	<b>Board Rating (from 1-4)</b>
The Board has an effective working relationship with the Legal Aid Board's CEO.	4	4	4.0
The Board has an effective working relationship with the Legal Aid Board's Senior Management Team.	3	4	3.7
<b>Relationship with Management – Overall</b>			<b>3.8</b>

*Table 12: Theme #9 – Relationship with Management - Survey Results*

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<b>Theme # 10 Board Member – Evaluation</b>	<b>Low</b>	<b>High</b>	<b>Board Rating (from 1-4)</b>
All Board members are well prepared and informed for Board meetings.	3	4	3.9
The attendance by Board members at Board meetings is satisfactory.	3	4	3.9
All Board members demonstrate a willingness to devote sufficient time and effort to understand Legal Aid Board and its operations and a readiness to participate in events outside Board meetings.	4	4	4.0
All Board members actively participate and contribute quality and value at Board meetings.	3	4	3.8
All Board members contribute to the development of strategy and risk management.	3	4	3.5
All Board members bring their knowledge and experience to bear in the consideration of strategy.	3	4	3.9
All Board members probe and test information and assumptions presented to the Board and are resolute in maintaining their own views and resisting pressure from others.	3	4	3.7
All Board members are effective and proactive in following up their areas of concern.	3	4	3.8
All Board members maintain good but constructive relationships with fellow Board members, the Board Secretary, the CEO and senior management.	4	4	4.0
I actively and successfully refresh my knowledge and skills to ensure they are up to date with the latest developments in areas relevant to my role as a Director, including corporate governance, financial reporting and the legal aid sector.	2	4	3.4
Other Board members communicate well with fellow Board members, senior management and stakeholders, present their views convincingly yet diplomatically, and listen and take on board the views of others.	3	4	3.7
I believe my performance engenders mutual trust and respect within the Board.	3	4	3.8
<b>Board Member - Evaluation– Overall</b>			<b>3.8</b>

Table 13: Theme #10 – Board Member Evaluation - Survey Results

Legal Aid Board Sub Committees	Overall Rating
Finance Committee	3.7
Policy and Reform Committee	3.6
Family Mediation Committee	3.6
Appeals Committee	3.5
Audit and Risk Management Committee	3.8
Human Resources Committee	3.7
Performance Committee	3.7
<b>Overall Summary Score</b>	<b>3.7</b>

*Table 2: Results of Committee Surveys*