

Governance Assessment Planner



governWell[™]
Better governance. Better healthcare.

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Contents

Overview

Introduction	3
Creating Your Assessment	3
Recommended Rating Scale	3

Governance Assessment Criteria

Mission, Values and Vision	5
Strategic Leadership	6
Quality and Patient Safety.....	7
Financial Leadership	8
Relationship With the CEO	9
Community Relationships	10
Board Roles, Responsibilities and Knowledge	11
Board Meetings.....	12

Governance Culture Criteria 14

Personal Performance Assessment Criteria..... 16

Governance Issues and Priorities 19

Congratulations on your decision to develop a customized board practices assessment. Conducting a board assessment is one of the most important steps a board can take to advance its leadership effectiveness, and ultimately improve your organization's ability to successfully achieve its mission and vision.

Introduction

A governance practices assessment is an organized evaluation of the board's satisfaction with all aspects of its performance in fulfilling its governance responsibilities. It combines ratings of positive statements about the board's leadership environment and processes, the governance culture, and individual board member performance. Very importantly, it probes board member viewpoints about governance issues and priorities, and explores their ideas about ways to improve the board's performance.

Conducted correctly, a governance assessment *process* (a combination of the assessment and the action plans created from it) enables the board to identify critical "leadership gaps," and achieve and maintain the level of governing excellence required for success in today's challenging health care environment.

Creating Your Assessment

The following pages include a list of potential governance assessment criteria listed in four key areas: 1) overall board performance, grouped into eight leadership areas; 2) evaluation of governance culture; 3) a personal performance assessment; and 4) issues and priorities.

To ensure that the governance assessment meets your unique needs, review the criteria and check the boxes next to the statements you want to use in your board evaluation. You may make edits to any of the criteria you choose, and add additional criteria you would like to include in your assessment in the space provided. **After selecting the criteria you would like to include in your governance practices assessment, create your customized governance assessment using an online survey tool of your choice.**

Recommended Rating Scales

Recommended rating scales are included in each section throughout this Planner based on a five point rating scale, with "Level 5" representing a board performing at the highest level, and "Level 1" representing a poorly performing board. If you choose, you may use a different rating scale for your assessment.

Governance Assessment Criteria

Governance Assessment Planner

Rating Scale

Level 5: I *strongly agree* with this statement. (We *always* practice this as a part of our governance.)

Level 4: I *generally agree* with this statement. (We *usually* practice this as a part of our governance, but not always.)

Level 3: I *somewhat agree* with this statement. (We *often* practice this as a part of our governance, are not consistent.)

Level 2: I *mostly disagree* with this statement. (We *inconsistently* practice this as a part of our governance.)

Level 1: I *completely disagree* with this statement. (We *never* practice this as a part of our governance.)

N/S: Not sure.

Mission, Values and Vision

- Our organization has a meaningful, board-approved mission that explains our core purpose
- Our organization has a board-approved vision that defines the future we are striving to achieve
- Our organization has board-approved values that outline our organizational beliefs and ideals
- We have reviewed and discussed our mission statement within the last 12 months to ensure that it is current and relevant
- Our mission and vision drive decision making at board meetings
- Our mission and vision drive organizational strategies, objectives and action plans
- Our board regularly reviews the status of strategies and objectives to ensure fit with our mission and vision
- Our board understands the implications of the evolving health care environment on the attainment of our mission and vision
- The actions and decisions of our board contributes directly to our organization's fulfillment of its mission and vision
- (Open-ended) Comments or suggestions for improvement:**

Additional Performance Criteria:

Please list any additional criteria you would like to include in your overall assessment of board performance.

1. _____

2. _____

3. _____

4. _____

Strategic Leadership

- We have a good understanding of the implications of the rapidly changing health care environment
- We understand critical issues and trends impacting our organization
- Our board is well-familiar with the planning data and assumptions that form the foundation for the strategic plan
- Our board focuses the majority of its time on strategic thinking and leadership rather than strategic plans and operational decision making
- Stakeholders' and constituents' needs are assessed when developing our goals and strategies
- Community health needs are addressed in our strategic planning
- New information, new ideas and new knowledge drive our strategic assumptions
- Our board monitors progress toward the achievement of strategic objectives
- Our board ensures timely modifications to strategic directions are made when necessary
- Our board considers various futures that may develop for our organization, and explores the implications of those potential futures
- The actions and decisions of our board contributes directly to our organization's strategic success
- (Open-ended) Comments or suggestions for improvement:**

Additional Performance Criteria:

Please list any additional criteria you would like to include in your overall assessment of board performance.

1. _____

2. _____

3. _____

4. _____

Governance Assessment Planner

Quality and Patient Safety

- Quality and patient safety are a primary focus of our board discussion and deliberations
 - Our board members are well-informed about patient safety, quality and performance measurement at our organization
 - Our board is well aware of emerging quality issues, challenges and opportunities
 - Our board fully understands its responsibilities and relationships with the medical staff
 - Our board has a positive and constructive relationship with the medical staff
 - Our organization has clear quality and patient safety improvement strategies
 - Our quality and safety performance is reported with metrics understandable by our board
 - The actions and decisions of our board contributes directly to our organization's success in achieving high quality
 - (Open-ended) Comments or suggestions for improvement:**
-

Additional Performance Criteria:

Please list any additional criteria you would like to include in your overall assessment of board performance.

1. _____

2. _____

3. _____

4. _____

Financial Leadership

- Our board members are comfortable asking questions about financial issues during board meetings
- Our board uses the annual budget process to define the most effective allocation of our organization's limited resources
- Our board approves targets for important measures of financial and operating performance
- Progress on financial performance measures are discussed at board meetings least quarterly
- Financial reports highlight major financial trends and stimulate financial understanding among board members
- Our board uses financial performance reports to modify assumptions and shift resources, as necessary
- Our board ensures an annual audit and thoroughly discusses all audit recommendations
- Our board exercises appropriate oversight of our organization's compliance program
- Progress and outcomes of our compliance efforts are monitored to ensure successful compliance, minimizing exposure to risk for the organization, the board and individual board members
- The actions and decisions of our board contributes directly to our organization's financial success
- (Open-ended) Comments or suggestions for improvement:**

Additional Performance Criteria:

Please list any additional criteria you would like to include in your overall assessment of board performance.

1. _____

2. _____

3. _____

4. _____

Relationship With the CEO

- Our board members adhere to the governing board's policy-making role and do not interfere in the CEO's operations management role
- Our board consistently supports our CEO in the pursuit and implementation of board-approved objectives
- Mutual trust and respect exist between our board and CEO
- Our board hears from our CEO in advance of difficult or potentially problematic issues
- Our chairman-CEO relationship sets a positive, constructive framework for the overall board-CEO relationship
- Our board uses executive sessions to promote open communication between our board and CEO
- Our board annually evaluates and compensates our CEO using pre-defined expectations tied to achievement of our mission and strategic objectives
- Our board regularly reviews our CEO's compensation to ensure that it is reflective of compensation trends and reflects the magnitude of challenges and issues facing the organization
- The actions and decisions of our board contributes directly to building positive board/CEO relations
- (Open-ended) Comments or suggestions for improvement:**

Additional Performance Criteria:

Please list any additional criteria you would like to include in your overall assessment of board performance.

1. _____

2. _____

3. _____

4. _____

Community Relationships

- We have a board-wide commitment to building a healthier community

 - Our organization promotes and supports specific initiatives whose sole purpose is improving community health

 - Our organization works with others in the community to develop collaborative partnerships for building a healthier community

 - Our organization conducts an annual or semi-annual community needs assessment that defines and measures improvement in the community's health

 - Our organization, in conjunction with its community partners, regularly assesses the value and impact of our joint community health improvement efforts

 - Our board utilizes board members as community "ambassadors" to communicate with our community on important health care issues

 - The actions and decisions of our board contributes directly to our organization's connection with the community

 - (Open-ended) Comments or suggestions for improvement:**
-

Additional Performance Criteria:

Please list any additional criteria you would like to include in your overall assessment of board performance.

- 1.

- 2.

- 3.

- 4.

Board Roles, Responsibilities and Knowledge

- I understand my fiduciary responsibility of obedience, care and loyalty to the organization
- Our board's role and responsibilities are clearly defined in writing
- Our board's role and responsibilities are consistently adhered to
- Board decision making protocols and procedures are well established
- Our board has a process for determining when a board member is not performing to the board's standards or requirements
- New board members participate in an orientation process that prepares them to successfully carry out their leadership responsibilities
- Our governance development process identifies governance issues and determines educational needs
- Our board education broadens board members' perspectives about the challenges our organization will face in the future
- Our board members have the diverse background, experience and perspectives necessary to best serve our community
- (Open-ended) Comments or suggestions for improvement:**

Additional Performance Criteria:

Please list any additional criteria you would like to include in your overall assessment of board performance.

1. _____

2. _____

3. _____

4. _____

Board Meetings

- Board members prepare for purposeful participation in board meeting discussions
 - Board members receive agendas and meeting materials at least one week in advance of board, committee and task force meetings
 - We explore critical strategic questions and/or engage in board dialogue that challenges conventional thinking
 - Our board discussion and decisions focus on the areas most critical to our organization's success
 - Our board chair is well-skilled in the dynamics of effective meeting management and leadership, and keeps meetings well-organized and tightly
 - Our board devotes time for important discussions by utilizing a consent agenda covering the routine actions that require approval
 - Working relationships among our board members are good
 - Our board has conflict of interest policy
 - Our board has a conflict resolution process
 - Board members annually declare conflicts that may inhibit their ability to provide unbiased, independent thinking and decision making
 - (Open-ended) Comments or suggestions for improvement:**
-

Additional Performance Criteria:

Please list any additional criteria you would like to include in your overall assessment of board performance.

1.

2.

3.

4.

Governance Culture

Governance Assessment Planner

Rating Scale:

- 5: Always exhibit.
- 4: Generally exhibit.
- 3: Sometimes exhibit.
- 2: Generally do not exhibit.
- 1: Never exhibit.
- N/S: Not sure.

Our Governance Culture

- Accountable
- Ambitious
- Collaborative
- Community-oriented
- Confident
- Creative
- Decisive
- Direct
- Diverse
- Efficient
- Factual vs. anecdotal
- Farsighted
- Flexible
- Mission-centered
- Optimistic
- Objective
- Resourceful
- Respectful
- Responsive
- Strategic
- (Open-ended) What other characteristics do you believe describe our board?**
- (Open-ended) Comments:**

Additional Criteria:

Please list any additional criteria you would like to include in your governance culture assessment.

1. _____
2. _____
3. _____

Personal Performance Assessment

Rating Scale:

Level 5: I *always* demonstrate this as part of my directorship.

Level 4: I *usually* demonstrate this as part of my directorship, but not always.

Level 3: I *often* demonstrate this as part of my directorship, but am not consistent.

Level 2: I *inconsistently* demonstrate this as part of my directorship.

Level 1: I *never* demonstrate this as part of my directorship.

Personal Performance Assessment

- I build good working relationships with other board members
 - I have positive relationships with the CEO, executive team, medical leaders and other key stakeholders
 - I focus my attention on long-term policy issues rather than administrative and operational issues
 - I understand the key issues and challenges facing our organization
 - I have a good working knowledge and understanding of the health care trends that will shape our organization's success
 - I come to meetings prepared to engage in meaningful discussion and thoughtful decision making
 - I actively participate in board and committee meetings
 - I offer unique skills that broaden board perspectives and inform decision making
 - I ask probing and insightful questions that contribute to effective governance dialogue and discussions
 - I keep an open mind when discussing controversial issues
 - When situations are ambiguous and unstructured I work with others to engage and problem solve
 - I synthesize complex information into knowledge, and apply it in our strategic thinking
 - I ask for and listen to others' ideas and input
 - I strive to represent the health care needs of the community and share our organization's needs and concerns with external constituencies
 - I maintain confidentiality when required
 - I commit the time necessary for successful board service
 - I continually seek to improve my leadership performance
 - (Open-ended) Comments or suggestions for improvement:**
-

Governance Assessment Planner

Additional Performance Criteria:

Please list any additional criteria you would like to include in your personal performance assessment.

1.

2.

3.

4.

5.

6.

Issues and Priorities

Issues and Priorities (Open-ended questions)

- What issues should occupy our board's time and attention in the next year?

- What is your single highest priority for our board in the next year?

- What is most critical for our board to do to ensure our organization is successful in achieving its goals?

- Is there anything our board should start or stop doing?

Please list any other opened-ended questions you would like to include in your assessment.

1. _____

2. _____

3. _____

After selecting your board assessment criteria, create your customized governance assessment through an online survey tool of your choice.