



Governance Expectations

Governance Assessment Instrument for Health Authority Boards

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Foreword

The following governance assessment instrument was developed to complement the document *Governance Expectations of Alberta's Health Authority Boards* (November, 2001). Its intent is to help boards assess how well they are meeting the governance expectations set by the Minister of Health and Wellness. This instrument is offered as one mechanism by which a board may assess its own performance.

The instrument has been developed to assess the performance of a board as a whole, not of individual board members. It should assist boards in identifying areas of strength and those that require improvement. This process may help generate ideas for change and improvement.

It is recommended that this instrument be completed by the board as a group. Although the survey may be initially completed by individual board members, this should only be the first step. The most useful and productive aspect of the assessment will be the resulting discussion that takes place among all board members.

Instructions for Completion: Please score the board’s current performance on each of the assessment criteria, using the following scale. The score chosen should reflect the *degree to which the criterion is currently met*.

- 0 = Not at all**
- 1 = Minimally**
- 2 = Partially**
- 3 = Substantially**
- 4 = Completely**

A. OVERALL DIRECTION AND PLANNING

A1. Define the vision, mission and values of the health authority, ensuring public and other stakeholder input

Assessment Criteria	Score (circle one)				
A1.1 Input from public, staff and other stakeholders has been effectively incorporated in the development of the organization’s vision, mission and values	0	1	2	3	4
A1.2 The vision, mission and values of the organization are aligned with provincial goals and directions	0	1	2	3	4
A1.3 The vision, mission and values of the organization are reflected in the ongoing decisions of the board	0	1	2	3	4
A1.4 The vision, mission and values are communicated throughout the organization and to the public on an ongoing basis	0	1	2	3	4

A2. Ensure that the health status and health needs of the population being served are assessed on an ongoing basis

Assessment Criteria	Score (circle one)				
A2.1 The board regularly requests and receives information about the health status and health needs of the population being served	0	1	2	3	4
A2.2 The board has confidence in the organization’s assessment of population health status and health needs	0	1	2	3	4

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A3. Establish strategic directions, key expectations and performance measures for the health authority

Assessment Criteria		Score (circle one)				
A3.1	The board has a sound process for determining strategic directions for the organization	0	1	2	3	4
A3.2	The process for setting strategic directions effectively incorporates information on health status, health needs, service utilization, community resources and provincial directions	0	1	2	3	4
A3.3	The board takes an active role in the setting of expectations, such as goals and targets, as well as performance measures for the organization	0	1	2	3	4

A4. Determine health services priorities

Assessment Criterion		Score (circle one)				
A4.1	The board has an explicit process for determining priorities for health services	0	1	2	3	4

A5. Provide policy leadership to the organization

Assessment Criteria		Score (circle one)				
A5.1	The board follows a process for establishing and reviewing on a regular basis the organization's policies and bylaws	0	1	2	3	4
A5.2	The board allows sufficient time in meetings for policy debate	0	1	2	3	4

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A6. Comply with legislation, regulations, provincial policies and Ministerial directives

Assessment Criteria	Score (circle one)
A6.1 The board has reviewed and understands the legislation, regulations and provincial policies that impact the governance of health authorities	0 1 2 3 4
A6.2 The board consults legislation, regulations and provincial policies when making major decisions	0 1 2 3 4

A7. Allocate resources for delivery of services

Assessment Criteria	Score (circle one)
A7.1 The board ensures alignment between resources allocated for service delivery and its population's unique needs, taking into account overall provincial directions	0 1 2 3 4
A7.2 When allocating resources, the board takes into account the long-term sustainability of programs and services	0 1 2 3 4

A8. Ensure the planning and delivery of quality health services

Assessment Criteria	Score (circle one)
A8.1 The board has processes to ensure that the health services delivery system provides adequate access to quality health services	0 1 2 3 4
A8.2 The board directs senior management to address identified problems of accessibility, safety and cost/effectiveness of health services	0 1 2 3 4
A8.3 The board has considered issues of integration and coordination within and across regional boundaries in the planning and delivery of health services	0 1 2 3 4
A8.4 The board has ensured that contracted providers are held accountable for resources used and standards of care, and are compliant with legislation	0 1 2 3 4

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A9. Develop and submit to the Minister of Health and Wellness a business plan for the health authority, and report on performance relative to the plan

Assessment Criteria		Score (circle one)				
A9.1	The business plan submitted annually to the Minister of Health and Wellness is consistent with provincial guidelines	0	1	2	3	4
A9.2	The annual report submitted to the Minister is complete, focuses on performance relative to the business plan, and explains variation	0	1	2	3	4

B. RELATIONSHIPS

B1. Fulfill its accountability to the Minister of Health and Wellness

Assessment Criteria		Score (circle one)				
B1.1	The board submits business plans and required reports to the Minister of Health and Wellness according to guidelines	0	1	2	3	4
B1.2	The board keeps the Minister appropriately informed of all factors impacting the business plan	0	1	2	3	4
B1.3	Ministerial feedback about previous plans and reports is incorporated into current reporting	0	1	2	3	4

B2. Establish a sound process for recruitment, appointment and evaluation of the Chief Executive Officer

Assessment Criteria		Score (circle one)				
B2.1	The board has a specific process and criteria for recruiting and appointing a CEO	0	1	2	3	4
B2.2	The board has set clear expectations for the CEO	0	1	2	3	4
B2.3	The board has established and follows a process for evaluating the performance of the CEO	0	1	2	3	4

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B3. Establish an effective working relationship with the Chief Executive Officer

Assessment Criteria		Score (circle one)				
B3.1	The board understands the distinction between issues that are responsibility of management and issues that are responsibility of the board	0	1	2	3	4
B3.2	The board has a process for assessing its working relationship with the CEO	0	1	2	3	4
B3.3	The board has achieved an effective working relationship with the CEO	0	1	2	3	4

B4. Ensure a succession plan is in place for senior executives

Assessment Criterion		Score (circle one)				
B4.1	The board has established a plan that will enable the organization to continue operating in the event of the departure of the CEO or other key executives	0	1	2	3	4

B5. Ensure the appointment of a Medical Officer of Health

Assessment Criteria		Score (circle one)				
B5.1	The board has fulfilled the requirements of the Public Health Act in relation to the appointment of at least one Medical Officer of Health	0	1	2	3	4
B5.2	The board has established a clear reporting relationship between the Medical Officer of Health and the CEO and/or the board	0	1	2	3	4

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B6. Grant physicians and other health care practitioners access to health care facilities

Assessment Criteria		Score (circle one)				
B6.1	The board has ensured an effective means for granting hospital privileges to physicians and other health care practitioners	0	1	2	3	4
B6.2	The medical staff has prepared and adopted medical staff bylaws approved by the Minister	0	1	2	3	4

B7. Develop an effective working relationship with physicians

Assessment Criteria		Score (circle one)				
B7.1	The board meets regularly with the physicians through a formal physicians' council or other means	0	1	2	3	4
B7.2	The board has established an effective working relationship with physicians	0	1	2	3	4

B8. Ensure that staff have input into decision making

Assessment Criterion		Score (circle one)				
B8.1	The board has an explicit process for soliciting and considering views of professional, technical and other staff	0	1	2	3	4

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B9. Establish processes for effective public input

Assessment Criteria		Score (circle one)				
B9.1	The board has established specific processes for receiving input from the public	0	1	2	3	4
B9.2	The board has established community health councils and works effectively with them	0	1	2	3	4
B9.3	Members of the public regularly attend board meetings	0	1	2	3	4

B10. Establish ongoing communication with the population being served

Assessment Criteria		Score (circle one)				
B10.1	The board has established a comprehensive communication program for the public	0	1	2	3	4
B10.2	The board communicates the health authority's strategic directions and priorities to the population	0	1	2	3	4
B10.3	The public has confidence in the health authority board	0	1	2	3	4

B11. Develop alliances and/or partnerships with other organizations

Assessment Criteria		Score (circle one)				
B11.1	The board has established alliances with other organizations to improve population health	0	1	2	3	4
B11.2	The board works effectively with other regional health authorities, provincial health boards, and Alberta Health and Wellness	0	1	2	3	4

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C. FISCAL MANAGEMENT

C1. Submit an annual budget and deliver services within the approved budget

Assessment Criteria	Score (circle one)				
C1.1 Budget allocations are consistent with strategic directions, objectives and provincial requirements	0	1	2	3	4
C1.2 Budgeted expenditures do not exceed budgeted revenues	0	1	2	3	4

C2. Safeguard the organization's resources through sound fiscal policies and effective internal controls

Assessment Criteria	Score (circle one)				
C2.1 The board has established and follows a process for regularly reviewing the financial position of the organization	0	1	2	3	4
C2.2 The board has established and follows a process to regularly review internal financial performance relative to targets	0	1	2	3	4
C2.3 The board has established and follows a process to assess the effectiveness of internal controls	0	1	2	3	4
C2.4 The board has confidence that fiscal policies and internal controls are effective, and that information provided to the Minister is accurate, valid and complete	0	1	2	3	4

C3. Commission an annual independent financial audit

Assessment Criteria	Score (circle one)				
C3.1 Every year the board commissions an independent audit of the authority's financial statements	0	1	2	3	4
C3.2 The board ensures that the CEO reports back on actions taken to address recommendations from the annual audit	0	1	2	3	4

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D. RISK MANAGEMENT

D1. Identify risks to the organization and ensure policies for risk management

Assessment Criteria	Score (circle one)				
D1.1 The board has established and follows a process for identifying and minimizing potential risks to the organization	0	1	2	3	4
D1.2 The board oversees the establishment of policies and processes to minimize loss (e.g., insurance coverage, code of ethics, contract management)	0	1	2	3	4

D2. Advise the Minister of risks to the organization

Assessment Criteria	Score (circle one)				
D2.1 The business plan addresses potential risks to the health authority	0	1	2	3	4
D2.2 The annual report identifies how risks were managed	0	1	2	3	4

D3. Ensure that a concerns resolution process is in place

Assessment Criteria	Score (circle one)				
D3.1 The board ensures that the organization has an effective process to receive and resolve concerns of service recipients and other stakeholders	0	1	2	3	4
D3.2 The board ensures that the organization has processes in place for the protection of persons in care	0	1	2	3	4
D3.3 The board ensures that public and staff are informed of appropriate means of raising and resolving concerns	0	1	2	3	4

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D4. Ensure that the health authority protects the privacy of information

Assessment Criteria	Score (circle one)
D4.1 The board has established and follows a process for ensuring that the health authority protects the privacy of information	0 1 2 3 4
D4.2 The board has established and follows a process for ensuring that the health authority uses information for appropriate and legal purposes	0 1 2 3 4

E. MONITORING, EVALUATION AND REPORTING

E1. Ensure that processes are in place to monitor, evaluate and continuously improve the quality of health services, within available resources

Assessment Criteria	Score (circle one)
E1.1 The board has been adequately involved in defining desired results and in determining the system for organization-wide monitoring and reporting	0 1 2 3 4
E1.2 The board establishes the boundaries of acceptable performance on key measures and indicators, within available resources	0 1 2 3 4
E1.3 The board has a formal process for reviewing organization-wide performance information	0 1 2 3 4

E2. Ensure that the organization's information systems and management practices meet the board's and the Minister's need for information

Assessment Criteria	Score (circle one)
E2.1 The board assesses on a regular basis its information needs	0 1 2 3 4
E2.2 The board ensures that information systems and management practices can address information needs of the board and of the Minister of Health and Wellness	0 1 2 3 4

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E3. Assess and report on the health authority's performance in addressing the health needs of its population

Assessment Criteria		Score (circle one)				
E3.1	The board monitors information on the overall performance of the health authority in addressing health needs of the population	0	1	2	3	4
E3.2	The board ensures that periodic evaluations of strategies, programs and services are completed by the organization	0	1	2	3	4

E4. Ensure processes are in place to monitor, evaluate and continuously improve the quality of work-life

Assessment Criteria		Score (circle one)				
E4.1	The board ensures a process is in place for monitoring and evaluating the quality of work-life within the organization	0	1	2	3	4
E4.2	The board provides direction on quality of work-life issues	0	1	2	3	4

F. BOARD PERFORMANCE

F1. Develop processes for the orientation and ongoing education of board members

Assessment Criteria		Score (circle one)				
F1.1	The board has a comprehensive orientation program for new members	0	1	2	3	4
F1.2	The board has an established process for ongoing education of members	0	1	2	3	4

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F2. Make clear decisions which are the collective responsibility of the board

Assessment Criteria		Score (circle one)				
F2.1	The board has established and follows an explicit process for decision-making	0	1	2	3	4
F2.2	Decisions made by the board are clear	0	1	2	3	4
F2.3	The board assumes collective responsibility for its decisions	0	1	2	3	4

F3. Ensure transparency of board processes

Assessment Criteria		Score (circle one)				
F3.1	Board meetings are adequately advertised and are open to public participation	0	1	2	3	4
F3.2	Board meeting minutes are available to the public for review	0	1	2	3	4
F3.3	The board communicates to the public the rationale underlying its decisions	0	1	2	3	4

F4. Periodically review, revise if necessary, and ensure compliance with board internal practices and procedures

Assessment Criteria		Score (circle one)				
F4.1	The board has established and follows a process for periodically reviewing and revising its practices, procedures and guidelines of operation	0	1	2	3	4
F4.2	The board's practices, procedures and guidelines of operation promote sound business practice	0	1	2	3	4
F4.3	The board has established a code of ethics for board members	0	1	2	3	4

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F5. Perform an annual board self-assessment and use these results to continuously improve board performance

Assessment Criteria		Score (circle one)				
F5.1	Every year the board assesses its own performance, identifying areas of strength and areas needing improvement	0	1	2	3	4
F5.2	The board uses the annual self-assessment results to make changes to improve its performance	0	1	2	3	4

**Board Performance
ASSESSMENT SUMMARY**

Areas of Strength:

Areas for Improvement:

Strategies for Improvement: