Board Evaluation & Performance

AN INTENTIONAL GOVERNANCE GUIDE: TRENDS, TIPS, AND TOOLS

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Online Toolbook
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The Governance Institute

The Governance Institute provides trusted, independent information, resources, and solutions to board members, healthcare executives, and physician leaders in support of their efforts to lead and govern their organizations.

The Governance Institute is a membership organization serving not-for-profit hospital and health system boards of directors, executives, and physician leadership. Membership services are provided through research and publications, conferences, and advisory services. In addition to its membership services, The Governance Institute conducts research studies, tracks healthcare industry trends, and showcases governance practices of leading healthcare boards across the country.

The Governance Institute is a service of National Research Corporation. Leading in the field of healthcare governance since 1986, The Governance Institute provides education and information services to hospital and health system boards of directors across the country. For more information about our services, please call toll free at (877) 712-8778, or visit our Web site at GovernanceInstitute.com.

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Introduction and Background

Six years ago, the Governance Institute published its signature publication, *Intentional Governance: Advancing Boards beyond the Conventional.*

The premise and concept of Intentional Governance are straightforward: if we want better, high performing, accountable governing boards, we need to take the deliberate "intentional" action to achieve this goal. Success rarely happens by chance. This is true for most things in life: athletes, students, business corporations—even marriages. It usually requires time, willingness, focus, and effort.

The same goes with governance. If we want to build and achieve a talented, highly effective board, it takes work and intent. First, we must want it: aspire to have a high-performing, better governing board. Then, we must act: take the deliberate, willful, "intentional" action steps to get there. We define Intentional Governance as: deliberate and intentional processes addressing board structure, dynamics, and culture that enable the board to realize its highest potential. The examination is about who is on the board and why; it is about how directors interact with each other and how they interact with management; it is about how the board uses its time, how it establishes its priorities/agenda, and how it measures its effectiveness. It is about governing with intention.

Intentional Governance: Seven Essential Elements

Intentional Governance is the byproduct of a simple, but important question: what makes an effective board? During our research we identified seven essential elements of governance, each an essential part of the organization and operation of a "good board." These seven elements include:

1. Board recruitment
2. Board structure
3. Board culture
4. Education and development
5. Evaluation and performance
6. Continuous governance improvement
7. Leadership succession planning

This Intentional Governance Guide addresses the fifth element, evaluation and performance. Each guide in this series is designed to provide takeaway tools and assist readers in developing customized Intentional Governance plans related to each of these seven essential elements. The Governance Institute provides other resources that go further in-depth on both the full board assessment process as well as the individual board member assessment process, discussed in this toolbook. Refer to the list of references at the end of this toolbook to access more information and resources.

Intentional Governance Spectrum

Board Recruitment
Organizational needs · Board needs · Requirements: training/education, experience · Stakeholder analysis · Community representation

Leadership Succession Planning
Written policy statement · Leadership position descriptions · Selection criteria · Identification and development · Performance evaluation · Connection to recruitment

Board Structure
Proper size · Committee structure · Board role: clear definition, responsibilities/accountabilities · Distinction between managing and governing · Effective meetings

Continuous Governance Improvement
Board mission statement · Track board performance · Evaluate efficiency/effectiveness beyond annual assessment · Continuous process analysis · Challenge and change culture

Board Culture
Clear behavior expectations · Encourage robust engagement · Mutual trust and willingness to take action · Commitment to high standards

Evaluation & Performance
Board assessment · Committee assessment · Director assessment/peer review · Commitment to making changes · Appointment/reappointment qualifications

Education & Development
Formal orientation · Formal board education plan · Education goals and process to meet goals · Resource allocation · Certification

Board Evaluation and Performance

Performance evaluation, through both individual board member assessment and full-board self-assessment, is a fundamental governance responsibility and considered standard practice for all boards. Indeed, without evaluation, boards don't have a way to gauge their performance rather than to assume they are performing adequately. But in today's complex healthcare environment, adequate isn't nearly enough. The task can seem daunting for busy boards with full agendas and devoted, volunteer board members who may not feel that their performance in such a role warrants formal criticism, no matter how constructive. Research from The Governance Institute shows that formal assessment is consistently a low-scoring area for most boards in both adoption of and performance in recommended practices for board evaluation (in fact, the core responsibility of board development, which includes evaluation and performance, has the lowest rate of adopted recommended practices and the lowest performance score compared to other core oversight areas).[1]

Performance evaluation needs to be timely, meaningful, and most importantly, include an action plan for improving areas of weakness identified through the evaluation process. Further, consider the context of regulatory calls for organizational transparency and the board's duty to document due care for liability protection. Showing a rigorous assessment process and development plan for improvement are essential for holding boards accountable for their actions, going beyond simple compliance reasons such as accreditation requirements.

There exists a broad spectrum of options when it comes to selecting assessment tools and how the evaluation process is conducted. It is important to keep in mind that culture is the most determinative fact of performance—indicating a transparent willingness of board members to both give and receive feedback, which is essential to any healthy system of governance. (Refer to *Board Culture: An Intentional Governance Guide: Trends, Tips, and Tools* for more information on building a healthy board culture.)

Intentional Governance Pillar: Evaluation and Performance

- Commitment to making changes
- Board assessment
- Committee assessment
- Director assessment/peer review
- Appointment/reappointment qualifications

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1   Kathryn Peisert, *21st-Century Care Delivery: Governing in the New Healthcare Industry,* 2015 Biennial Survey of Hospitals and Healthcare Systems, The Governance Institute.

Challenges to Effective Board and Director Evaluation

Effective board and director evaluation is one of the great challenges of high-performing governance. Specific issues include:

1. **Culture/internal resistance:** for a board member, there is a tension inherent in being an unpaid volunteer and having to go through the process of performance evaluation.
2. **Standards:** There are no standards or requirements for individual director assessment; though there are accreditation standards and third-party tools for the full board assessment.
3. **Implementation:** Much of the most important feedback that directors can receive is "subjective" (i.e., related to behaviors). It takes leadership and skill to implement processes that enable the board to give meaningful feedback that will result in meaningful change.

Ways to address these challenges are considered throughout this toolbook. A first step is to have board members complete the Intentional Governance Assessment below and discuss the results together, to get all board members on the same page about the purpose and importance of evaluating board performance, the current effectiveness of your board's evaluation process, and what needs to be done to improve it.

Intentional Governance Assessment: Board Evaluation & Performance

	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Don't know/ not applicable
1. The board conducts an effective and meaningful board self-assessment regularly (every year or every other year).						
2. The board committees formally assess their own performance.						
3. The board has an effective process to assess individual director performance.						
4. The board effectively uses the results from the board self-assessment to establish board performance improvement goals.						
5. The board has meaningful criteria and a formal process to evaluate the qualifications and competencies for appointing and reappointing board members.						

Intentional Governance Solutions

Culture: Commitment to Making Changes

Board evaluations can be effective tools that shed light on the collective performance of the board as a whole. Board assessment needs to be methodical, balanced, and fair. Intentional governance requires that this examination be done on an ongoing basis, and that there be real commitment to making appropriate changes as a result. Board members who are not willing to participate fully and transparently in this process may not be well informed about the purpose and importance of the process. The board chair and governance committee must communicate and over-communicate with the rest of the board about the evaluation purpose, its importance, and the emphasis on fairness, candor, and constructive feedback.

First, board assessments must be formal, in writing, with clear and neutral evaluation of the different dimensions of governance and effectiveness. Preferably, a committee (usually the governance committee) is charged with structuring the evaluation process and selecting an evaluation tool that is statistically valid and reliable.

Second, and most importantly, the assessment must lead to action. Action should include not only feedback, but it should also include opportunities for director and board improvement (e.g., board education and development). Board self-assessment is the baseline—the point at which the board must begin. It must feed forward into continuous governance improvement, standards, structure, and planning for the future of the board itself.

Standards and Implementation: Conducting an Effective Full Board Self-Assessment

Selecting an Assessment Tool

The broad spectrum of assessment tool options include using an external third-party tool, an internal tool, or a combination of both. An external tool is key to ensure a rigorous process, statistical validity, and benchmarking against other organizations, while allowing customization to an individual board's culture, goals, objectives, and performance criteria. An internal tool provides the most degree of customization and could allow the board to benchmark against its own performance over time, but it may not provide any external information as to how the board is evaluated or compared against its own peers in similar organizations. In addition, in order for the assessment process to be unbiased, fair, and statistically valid, the tool needs to be constructed in such a manner that board members are able to understand the questions and answer them truthfully, without being led in any particular direction by the tone or wording of the question. As such, exclusive reliance on an internal tool is not considered best practice. We recommend using a validated third-party tool and customizing it to an appropriate degree to fit your board's needs. (Visit www.governanceinstitute.com/SelfAssessments to learn more about The Governance Institute's selection of board and committee assessment tools.)

In the context of regulatory calls for organizational transparency and the board's duty to document due care, showing a rigorous assessment process and development plan for improvement are essential for board accountability.

The Assessment Process

Step 1. Set goals and expectations of the board in advance. Board evaluation is always a good time for the board to look at goals, expectations, requirements of board service to ensure that in every instance possible, board members know in advance what is expected of them. Ideally, such goals and expectations are set at the beginning of the year (or immediately after the previous year's assessment, based on the results and development plan), and then the board has opportunities throughout the year to track progress of those goals. When the time comes to conduct the annual board assessment, the full board should review the agreed upon goals and expectations to determine if modifications are necessary, and be sure the goals and expectations are reflected in the evaluation tool (those essentially become the evaluation metrics).

Step 2. Customize the tool. When using an external tool, the board or governance committee should review it in advance to ensure the following:
- Industry terms used are understood and explained to board members prior to completing the survey
- Questions on the tool are applicable to this board
- Addition of questions as needed due to the individual board's goals/needs

Then, prior to distributing the survey, board leaders can take a moment with the board to review the tool and process, which helps make it feel less daunting. Be sure to include that all board members' responses will be kept confidential, and results will be presented in the aggregate. This ensures the most truthful responses and thus accurate results.

Step 3. Conduct the assessment. Most third-party assessments can be done online, at the board member's own convenience. It is critical to engage the board support person to help facilitate the assessment: distribution of survey and instructions (whether via email or hard copy), setting a timeline for survey completion (usually one or two weeks), and sending reminders and tracking completion. It is essential that *all* board members complete the assessment to ensure the results are as valid as possible. (With small boards, one person's responses can change the aggregate scores substantially.) New board members can benefit from taking the assessment as the tool in itself provides education about what responsibilities are required to be performed. But if new board members cannot yet answer many of the questions on the survey, their answers do not need to be included in the results.

Board members must have the opportunity to complete evaluation forms in a place other than the boardroom. Directors need time to reflect and have some privacy to

feel more apt to be candid and forthright about themselves, their colleagues, and the board as a whole. (Surveys are kept confidential for this reason.)

Step 4. Calculate the results. Usually third-party tools provide an aggregate report of responses, along with instructions for how to interpret the results. The Governance Institute also provides a facilitators' guide and an opportunity to discuss the results with a staff person or Governance Institute advisor, prior to reporting to the full board.

Step 5. Present the results and create a development plan. This is the most important step of the entire process and one that should not be done by cutting corners or rushing through. Without this step the assessment process becomes a fruitless task and a waste of board members' time.

During a special board meeting or retreat devoted to this single agenda item, the board chair, chair of the governance committee, or an outside facilitator presents the report to the full board (board members should have access to the report in advance). This can be a valuable time for generative discussion about the results, including both areas of strength and weakness. The full board should be part of the decision-making process about which goals should be set for the following year regarding board performance. Then, the governance committee can finalize the board development plan by filling in objectives to reach those goals and a timeline for completion. The full board can approve the final plan at the next board meeting in the consent agenda.

Some boards may feel it beneficial to bring in an outside expert to present the results to the board and help facilitate the discussion. This can be helpful if the board has many areas it needs to improve upon or if some board members are hesitant about the assessment purpose and process. Hearing the news from an objective party keeps it in perspective and the focus can stay on constructive, transparent goal setting rather than finger pointing or allowing assumptions of bias or personal relationships among board members to get in the way of objectivity.

What to Do with the Results: Have a Facilitated Discussion, Develop an Action Plan, and Follow Up

While initiating the self-assessment process usually follows a fairly standard approach, the steps taken to review the results and develop follow up activities can vary depending upon the organization. That said, high-performing boards take the following steps:

1. The governance committee and CEO review the results and plan for the full-board discussion. The board chair and others may be involved in this step. (If the board uses The Governance Institute's tool, a one-hour phone call between the governance committee chair or board chair and a Governance Institute representative or advisor to discuss how to interpret the results should take place at the outset of this step.)
2. An inside or outside facilitator (possibly a Governance Institute advisor, if appropriate) is selected to review the results with the full board and facilitate a generative discussion.
3. The assessment results are distributed to all board members.
4. The governance committee or facilitator presents the results to the full board at a special session devoted to the assessment, rather than as part of a regular board meeting. It is important that the presentation of results provides the opportunity for full board discussion and takes place in a timely fashion.
5. The governance committee creates a development plan (which is approved by the full board) to identify opportunities and action steps for performance improvement.
6. The governance committee monitors the development plan to ensure that improvement goals are met, and presents progress reports to the full board.
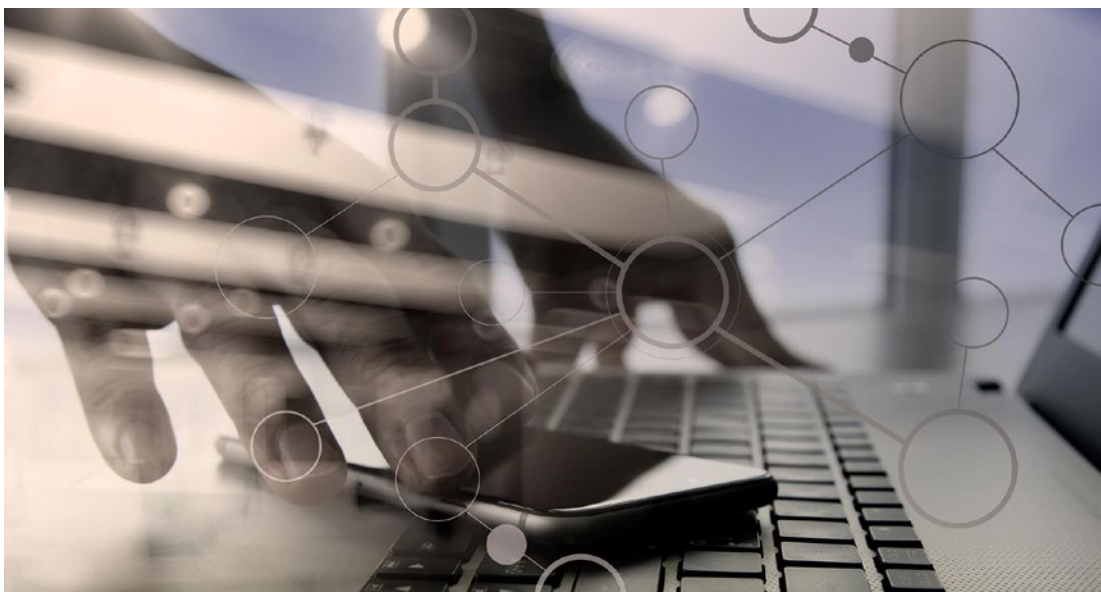
The Importance of Committee Assessment

As committees are the workhorses of the board, having effective committees directly affects the effectiveness of the full board. Conducting committee assessments should be done in a similarly formal manner as the full board assessment, and the questionnaire should be based on the following criteria:[2]

1. Performance of committee roles and responsibilities as set forth in the committee charter.
2. How well the committee members understand the committee roles and responsibilities.
3. Communication and reporting protocols to the full board: the effectiveness of the protocols and how well the committee performs such protocols.
4. Committee makeup: does the committee have the right people to do the work that is required of the committee?
5. How well the committee works with staff and management and maintains the proper line between management and governance.

Conducting an Effective Individual Board Member Assessment

Most board members agree that individual assessment is beneficial and useful. However, despite this sentiment, the vast majority of boards don't conduct individual assessments (this continues to be the lowest-adopted practice on our biennial surveys, with only 27 percent of all respondents having a formal process for individual board member assessment).[3] This is a place where board culture can help or hinder the process. As part of the Intentional Governance pillar of evaluation and performance, board members must show a willingness and commitment to making changes. Attempting to improve the performance of the full board does not work fully without individual board members making that same commitment to their own performance.

There are several methods of conducting individual assessment:

1. Self-evaluation and discussion with the board chair or governance committee chair
2. Assessment by the governance committee or board officers
3. Full board participation in the individual assessment (or 360-degree peer review)

When the full board participates in an individual assessment, a survey is conducted similar to that of the full board assessment. Anonymity can be beneficial or harmful—board members may be more harsh than constructive knowing that their responses won't be attached to their names, or responses can be misunderstood or weighed too much or too little in importance. Concerns and rightful trepidation about conducting individual assessment would lead one to think that an evaluation by an entire board might seem overwhelming and perhaps unnecessary. In our experience, it is less

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2 The Governance Institute provides committee assessment tools as part of the BoardCompass® suite of assessment tools. For more information, visit www.governanceinstitute.com/?page=SelfAssessments.
3 Kathryn Peisert, *21st-Century Care Delivery: Governing in the New Healthcare Industry,* 2015 Biennial Survey of Hospitals and Healthcare Systems, The Governance Institute.

important that the entire board weighs in but more important that individual assessment is done *objectively* in a small, intimate, non-threatening environment.

Furthermore, individual assessment should not be a unilateral exercise. Having an individual director assessment process in place is less than ideal if there isn't an opportunity for the individual being assessed to also *give* feedback about the performance of the board. Often, the board member being evaluated has valuable information that can inform the governance committee about the director himself and also provide insights into the performance of the full board.

Part of working together as people is our ability to understand that we are all different, we have varying strengths and weaknesses, and we have the ability to bring different people to the table, which allows for wider perspectives and more generative discussions. The bottom line is that the board should choose the type of approach for individual assessment that works best for the director being assessed and the overall board culture.

Standards of Individual Assessment

The first step is to determine the criteria against which individual board members will be assessed. Many boards don't go into detail on what is being assessed: expectations, performance according to the board member job description, and skills and competencies. Thus, if a board wants to take on individual assessment and do it in a constructive, effective way, it is essential to take time to delineate the specific expectations of individual board members, just as it would during the full board assessment process. If the board member doesn't know what he or she is being measured against, it can bring upon surprises and a defensive response.

Individual Assessment via Small Committee

In our experience, this method is the most constructive and least controversial. The director being assessed will complete a self-evaluation form (see sample forms in **Appendix 1**). Then there will be a meeting with the governance committee and/or board officers, so the self-evaluation can be explained and discussed, including the director's assessment of the board as a whole, and the committee or officers provide feedback and constructive criticism.

This method has the mutual benefit of communication—a face-to-face, intimate setting is a good opportunity to address issues more comfortably and discuss the director's future goals such as board leadership or retirement. Another value of this approach is that it does not place any individual on the "hot seat." The director is less likely to feel as if he or she is being a target of scrutiny. It provides a collegial environment for both sides to learn about each other in a formal manner, sharing thoughts and information that might not otherwise be able to be shared.

The final step in an individual assessment is to work with the director to create an individual development plan. This plan can be simple or complex, depending up on the director's needs, and should include specific education activities and attainable goals so the director is clear on his or her commitment to achieving those goals.

What matters most are standards, expectations, and aspirations. Standards and expectations set forth what is needed in the immediate situation; aspirations help individual board members and the full board strengthen and grow to attain higher goals and higher performance over time.

Using Evaluation Criteria for Board Member Appointment & Reappointment

One of the major benefits of conducting individual board member assessment is the fact that the board now has data from which to determine eligibility for board member appointment and reappointment. Knowing the definition of a high-performing board member, and what measurements the board uses to make that determination, opens up capabilities to ensure that current directors have earned their reappointment, and that new directors brought on to the board will perform as needed to make a valuable addition to the team.

The criteria developed through the assessment process create the foundation of board member competencies and competency-based recruitment. Using the concepts of Intentional Governance, the governance committee can compare measurement criteria and assessment results against the organization's strategic plan and vision to determine its director needs, making sure that there are no gaps at the boardroom table now and into the future as governance roles expand in population health and value-based care models.

Conclusion

Performance evaluation of both the full board and individual board members is an Intentional Governance pillar because boards cannot intentionally govern without having a clear and accurate picture of how they are performing. A formal evaluation process that is conducted fairly, transparently, and constructively can provide board members with valuable information as to how the board is performing and what it needs to do to improve upon it. Further, it provides documentation showing that the board takes its fiduciary duties seriously, and sends a message throughout the organization that performance evaluation is a key component of healthy, high-performing organizations.

By addressing and removing barriers and implementing an effective evaluation process, using the steps as described in this toolbook, boards can take intentional actions to improve and develop. Once the formal assessments are complete and an annual process is in place, the board can look to the next pillar of Intentional Governance, continuous performance improvement.

Resources

The following list of Governance Institute resources can provide more in-depth information regarding the topics covered in this toolbook.

Elements of Governance®
Individual Board Member Assessment (3rd Edition), June 2015
Board Self-Assessment: A Core Responsibility, 2013
Governance Development Plan (2nd Edition), Winter 2011
Board Education, Goal Setting, & Work Plans, Fall 2009

Other Resources
Sean Patrick Murphy and Anne D. Mullaney, *Intentional Governance: Advancing Boards Beyond the Conventional* (signature publication), 2010

Appendix 1:
Sample Individual Director Assessment Questionnaires

The samples below are for individual board member assessment. For more information about our BoardCompass suite of assessment tools for boards and committees, please visit www.governanceinstitute.com/SelfAssessments.

1. Sample Peer-to-Peer Assessment of Board Member Performance
Complete this questionnaire by indicating how much you agree with the following statements regarding the following board member.

Board Member's Name: _____ **Scale (circle one)**

Expectations of all board members	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	N/A (Can't rate)
1. Demonstrates commitment and passion for the mission, purposes, goals, and values of the organization.						
2. Demonstrates knowledge of the organization's policies, programs, services, history, strengths, and needs.						
3. Understands the fiduciary duties of care, loyalty, and obedience, and performs duties of board membership according to them.						
4. Exhibits strong integrity...is trustworthy, honest, and open.						
5. Understands the difference between governing and managing a complex organization.						
6. Comes to board and committee meetings well prepared.						
7. Contributes the time necessary to be an effective member.						
8. Helps the board to quickly grasp the strategic context and critical aspects of new and complex issues						
9. Participates actively but not to excess and makes comments at the appropriate times.						
10. Articulates his or her views clearly and succinctly in positive ways.						

Expectations of all board members	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	N/A (Can't rate)
11. Contributes to the CEO's and the board's perspective and wisdom by freely sharing pertinent experience and knowledge.						
12. Brings new thinking and creative ideas.						
13. Raises constructive questions, encourages others to face realities, and is willing to challenge prevailing assumptions when necessary.						
14. Suggests agenda items periodically for board and committee meetings to ensure that significant, policy-related matters are addressed.						
15. Avoids asking for special favors of the staff, including special requests for extensive information, without prior consultation with the CEO, board, or appropriate committee chairperson.						
16. Draws out others to make contributions.						
17. Helps move discussions along toward closure.						
18. Listens to others and is willing to change his or her views.						
19. Accepts challenges without becoming defensive.						
20. Exercises sound judgment, applying pertinent principles and benchmarks to board deliberations and decision making.						
21. Displays independence, developing his or her positions based on objective information, not only based on management's recommendations.						
22. Maintains confidentiality of the board's executive sessions, and speaks for the board only when authorized to do so.						
23. Serves the organization as a whole rather than any special interest group or constituency.						
24. Discloses any possible conflicts to the board in a timely fashion and according to board policy.						
25. Never offers or accepts favors or gifts to or from anyone who does business with the organization.						

Expectations of all board members	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	N/A (Can't rate)
26. Is willing to take on leadership responsibilities and undertakes special assignments enthusiastically.						
27. Helps to open doors and communicate effectively to key external constituencies.						
28. Is willing to participate in educational opportunities and remains current on changing trends and issues affecting governance.						
Competencies specific to board member: _____						
29.						
30.						
31.						
32.						
33.						

Peer Assessment of Board Member Performance: Open-Ended Questions

Board Member's Name: _____

1. What are the strongest ways that this member contributes to the work of the board?

_____

_____

2. Where is this individual weakest as it relates to contributing to the work of the board?

_____

_____

3. How could this member improve his or her contribution to the work of the board?

_____

_____

4. Do you recommend this board member be nominated for a new three-year term?

_____ Yes _____ No

Sample Self-Evaluation for Individual Board Members

The tool provided below is for individual self-evaluation. Board members are asked to evaluate themselves on each item (ideally via an online survey tool). The evaluation can be anonymous if you are simply seeking a general idea of how board members perceive their own performance in total; if your board wants to be able to perform self-evaluations with follow up review and discussion with the board chair or board mentor, the survey should not be anonymous. However, the board member evaluating him-or herself should be assured that the survey responses will go only to the agreed upon person (board chair or mentor).

Board Member's Name: _____ **Scale (circle one)**

Expectations of all board members	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	N/A (Can't rate)
1. I am committed to and passionate for the mission, purposes, goals, and values of the organization.						
2. I know and understand the organization's policies, programs, services, history, strengths, and needs.						
3. I understand the fiduciary duties of care, loyalty, and obedience, and perform duties of board membership according to them.						
4. I exhibit strong integrity…I am trustworthy, honest, and open.						
5. I understand the difference between governing and managing a complex organization.						
6. I come to board and committee meetings well prepared.						
7. I contribute the time necessary to be an effective members.						
8. I help the board to quickly grasp the strategic context and critical aspects of new and complex issues.						
9. I participate actively but not to excess and makes comments at the appropriate times.						
10. I articulate my views clearly and succinctly in positive ways.						
11. I contribute to the CEO's and the board's perspective and wisdom by feely sharing pertinent experience and knowledge.						

Expectations of all board members	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	N/A (Can't rate)
12. I bring new thinking and creative ideas.						
13. I raise constructive questions, encourage others to face realities, and am willing to challenge prevailing assumptions when necessary.						
14. I suggest agenda items periodically for board and committee meetings to ensure that significant, policy-related matters are addressed.						
15. I avoid asking for special favors of the staff, including special requests for extensive information, without prior consultation with the CEO, board, or appropriate committee chairperson.						
16. I draw out others to make contributions.						
17. I help move discussions along toward closure.						
18. I listen to others and am willing to change my views.						
19. I accept challenges without becoming defensive.						
20. I exercise sound judgment, applying pertinent principles and benchmarks to board deliberations and decision making.						
21. I am independent and develop my positions based on objective information, not only based on management's recommendations.						
22. I maintain confidentiality of the board's executive sessions, speak for the board only when authorized to do so.						
23. I serve the organization as a whole rather than any special interest group or constituency.						
24. I disclose any possible conflicts to the board in a timely fashion and according to board policy.						
25. I never offer or accept favors or gifts to or from anyone who does business with the organization.						
26. I am willing to take on leadership responsibilities and undertake special assignments enthusiastically.						

Expectations of all board members	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	N/A (Can't rate)
27. I help to open doors and communicate effectively to key external constituencies.						
28. I am willing to participate in educational opportunities and remain current on changing trends and issues affecting governance.						
Competencies specific to board member: _____						
29.						
30.						
31.						
32.						
33.						

Please comment on any of the above:

_____

_____

_____

_____

_____

_____

Board Member Satisfaction:

1. Do you feel that your service on the board has contributed to the organization's services/programs, image, or future prospects?

_____ Yes   _____ No

2. Has the experience been challenging?

_____ Yes   _____ No

3. Has the experience been satisfying?

_____ Yes   _____ No

4. How has the service differed from expectations prior to serving?

_____

_____

_____

_____

5. Is there any one thing you would like to change about your board service? If so, what would that be and how would you change it?

_____

_____

_____

_____

_____

Appendix 2:
Sample Agenda for a Board-Self Assessment and Improvement Retreat

Objectives	1. Review the findings of the board self-assessment survey. 2. Engage in a discussion of governance structures, policies, and practices. 3. Identify opportunities for continuous board improvement, using the best practices of effective boards as a benchmark. 4. Develop a working draft of a governance effectiveness action plan, for follow-up implementation after the retreat.
Schedule	
7:30 a.m.	Breakfast
8:00 a.m.	Welcome/objectives for the retreat *(board chair and CEO)*
8:15 a.m.	Review of board self-assessment results
9:45 a.m.	Break
10:00 a.m.	Deep dive on results: areas for improvement, root causes
11:00 a.m.	Discussion of priorities and development of ideas for improvement
12:00 p.m.	Lunch
1:00 p.m.	Discussion of priorities and development of ideas for improvement *(cont.)*
2:15 p.m.	Break
2:30 p.m.	Discussion and development of a governance effectiveness action plan
3:00 p.m.	Adjourn

Appendix 3:
Sample Governance Effectiveness Action Plan

Action Item	Specific Goals	Assigned to	Deadline
Improve/enhance strategic discussion for more effective board meetings	· Hold a board education session regarding the difference between operational and strategic discussions · Implement an inverted agenda with strategic discussion taking place first · Review consent agenda procedure to ensure best practice is in place to free up as much meeting time as possible · Increase time for board education during meetings prior to major decisions · Create executive summary of board meeting minutes to include in board packet for review prior to meetings	Board chair/ board support person	Within 3 months
Revamp quality dashboard to include population health and value-based metrics at the right level of information for the board	· Work with quality improvement staff to determine which metrics to include that show a big-picture view of quality and value performance over time · Create two-level dashboard with a front page summary of performance showing major metrics such as mortality rates, bundled quality metrics for major service lines, and costs of care; interior pages with lower level of detail if board wants to dig deeper	Quality Committee	Within 6 months
Develop and implement a succession planning process for board leadership (chair, vice chair, and officers)	Develop a written board leadership succession plan for full board approval. Elements to include: · Clear process for selecting officers · Skills, competencies, and prerequisites for officers Educate board members and implement board leadership succession plan	Governance Committee	Within 6–9 months
Ongoing governance education and training plan	· Develop annual board education calendar to include education sessions at every board meeting and educational retreats, based on needs from strategic plan · Set goals for board member time commitment to educational activities outside of board education sessions (and specify activities/resources)	Governance Committee	Within 3 months
Additional actions...			