

GOVERNANCE SELF-ASSESSMENTS

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This section builds upon the strategies of [Section 15](#) and [16](#) to examine alternative tools and systems for conducting successful self-assessments of governing bodies, then linking the findings to continuous governance improvement plans.

THE CHALLENGE

You are a new member of the Country Coordinating Mechanism (CCM) in Ukraine, where the chairperson has asked you to recommend a process for a quarterly review of the decision-making work of the CCM. How should you best collaborate with management to first develop such a program of review, and then link it to process improvement activities?

In the following section, we will see the actions that governing body members need to take to conduct effective governance self-assessments and use the results for improving governance and organizational performance.

High-performing governing bodies establish and adhere to a policy that requires an annual assessment of their engagement, behaviors, and results in the past year. The purpose of this policy is to give the governing body an opportunity to reflect on how well it is fulfilling its responsibilities and to identify opportunities for continuous improvement.

WHAT IS A GOVERNING BODY SELF-ASSESSMENT?

A governing body self-assessment can be defined as an organized quantitative and/or qualitative self-evaluation of the governing body's satisfaction with all aspects of its performance in fulfilling its governance responsibilities. It combines ratings of statements about the health service delivery organization's governance environment, processes, focus, and performance with governing body members' recommendations for change to improve governance performance. Done correctly and consistently, a governing body self-assessment process—which melds the assessment and the action plans created from it—enables the governing body to identify critical “governance gaps.” It also enables it to achieve and maintain the level of governing excellence required for success in today's challenging health care environments.

WHY SHOULD BOARDS REGULARLY DO A SELF-ASSESSMENT?

Members of the boards of governing bodies should conduct an annual governing body self-assessment in order to:

- set measurable objectives for improving governance that foster enhancement of the health services organization's performance;
- gather information to assess their effectiveness in improving organizational performance;
- use established, objective criteria to assess their governance effectiveness in improving organizational performance;
- draw conclusions based on their findings, and develop and implement improvements in their governance activities;
- evaluate their performance to support sustained improvement.

Governing body self-assessment is also an ideal way to regularly engage the governing body in an anonymous and confidential evaluation of its overall governance performance, while at the same time providing governing body members with an opportunity to rate their personal performance. An excellent governing body self-assessment process will achieve several major outcomes. It will:

- define the most critical governance success factors;
- secure confidential, broad-based member input on the critical fundamentals of successful governing leadership;
- create an opportunity to address major issues and ideas in a nonthreatening, collaborative manner;
- clearly demonstrate where the governing body is both in and out of alignment with leadership fundamentals and issues;

- objectively assess the degree of common understanding, expectations, and direction for the governing body among its members;
- assess deficiencies that may impact the governing body's ability to fulfill its fiduciary responsibilities;
- identify opportunities for meaningful leadership improvement;
- help administration better understand and respond to the governing body's leadership education and development needs.

HOW SHOULD THE ASSESSMENT BE USED TO IMPROVE GOVERNING PERFORMANCE?

Conducting the governing body self-assessment is only the first step in improving governance performance. An excellent self-assessment process does not simply measure governing body members' viewpoints about governing performance. To be successful, it must be a catalyst for engaging governing body members in a wide-ranging discussion of assessment findings that highlights performance gaps and areas where governing body members lack consensus. Finally, it must facilitate the development of a governance improvement action plan with responsibilities, time frames, and projected outcomes.

HOW OFTEN SHOULD THE ASSESSMENT BE DONE?

Ideally, the governing body should assess its performance annually. Many governing bodies conduct their self-assessment as part of an annual governing body educational and planning retreat. There they set aside time to discuss the assessment results and explore ways to improve leadership performance. Some governing bodies are able to successfully design and conduct a self-assessment, compile and analyze the results, and facilitate the development of a governing body improvement action plan using internal resources. Others rely on outside consultants, who offer reliable methodologies and tools for governing body self-assessment.

HOW DO WE KNOW IF WE ARE DOING SELF-ASSESSMENT EFFECTIVELY?

You can use the questions to know whether you are deriving the maximum benefits from the self-assessment process. Answer the questions in Box 23.1 with yes or no.

BOX 23.1 Quick analysis of your self-assessment process

1. Do you do a self-assessment annually?
2. Does your governing body understand the purpose and value of self-assessment?
3. Is your governing body uniformly committed to self-assessment?
4. Does your self-assessment allow governing body members to freely express their ideas for needed change?
5. Does your self-assessment result in specific ideas for ways to improve governance processes, structure, and outcomes?
6. Do you use the results of your self-assessment to create action plans for governance improvement?

WHAT ARE THE STEPS IN CONDUCTING A GOVERNING BODY SELF-ASSESSMENT?

You can use the checklist in Box 23.2 to make sure that you are taking all the correct steps.

BOX 23.2 Ten-step plan for conducting a governing body self-assessment

- Step 1:** Determine the unique objectives and projected outcomes of your assessment.
- Step 2:** Design draft evaluation criteria and a measurement methodology (for example, 5 equals very satisfied, 1 equals very dissatisfied; 5 equals strongly agree, 1 equals strongly disagree; 5 equals excellent, 1 equals poor). Alternatively you may adopt and adapt the governance self-assessment in Table 23.2.
- Step 3:** Print a draft questionnaire and test the criteria and methodology for relevance and completeness in meeting your assessment needs.
- Step 4:** Distribute your self-assessment questionnaire to all trustees with a stamped, self-addressed envelope, ensuring both anonymity and confidentiality. Alternatively, you can develop a Web-based self-assessment, which can be administered online.
- Step 5:** Compile the results and produce a report. The report should have graphs depicting the areas measured in priority order, from highest to lowest average score. Include verbatim comments and a brief analysis of key themes and findings.
- Step 6:** Hold a special governing body meeting or retreat to review the assessment results and discuss their implications for all aspects of board activities and performance.
- Step 7:** Appoint a committee or taskforce to develop specific recommendations for improvement. Then prioritize the most important areas of governance focus, and determine the resources required for success.
- Step 8:** Implement the recommendations. Assign responsibilities and determine outcomes.
- Step 9:** Document and regularly report on the progress of the approved governance improvement initiatives.
- Step 10:** Continually re-assess governing body performance.

HOW SHOULD WE ANALYZE THE RESULTS OF THE SELF-ASSESSMENT?

There are a variety of ways to compile and analyze the results of your governing body self-assessment, from simply tallying responses by hand to using customized self-assessment software applications. One effective process includes the following steps:

1. Compile the results into a database that enables:
 - the creation of graphs that show mean (average) scores, in order from highest to lowest, for statements about the governing body’s governance performance in several broad dimensions of leadership, such as improving community health, CEO and medical staff relationships, financial stewardship, etc.;
 - development of individual “distribution graphs” that depict the frequency of rating response for each individual assessment point. These distribution graphs show the degree of consensus among governing body members on individual performance points, and help to provide the detail behind the mean scores.
2. Analyze governing body members’ suggestions for ways to improve governing body performance. Trustees should have an opportunity to comment on the reasons for their ratings, and/or express their ideas and recommendations for needed governance change.
3. Compile an executive summary of key themes and findings; it should be based on both quantitative and qualitative responses.
4. Produce a report containing graphs of all statements rated by the governing body, including all mean graphs and relevant distribution graphs where governing body member consensus appears to be lacking. Also include a summary of potential actions to respond to governing body members’ ratings and suggestions for governance improvement.

HOW CAN WE USE THE SELF-ASSESSMENT TOOL?

Tables 23.1 and 23.2 present a simple tool that you can start using right away for your governing body self-assessment. If you want to conduct a more exhaustive assessment, please use the advanced tool presented toward the end of this section.

In the assessment instrument below, each statement has a response option from 0 to 4. The maximum score for each statement is 4. There are 25 statements in total, so 100 (25 x 4) is a perfect score. The score key is given below in Table 23.1.

TABLE 23.1 Self-assessment instrument score key

Statement	Score
This aspect of governance is performed fully and very well in this organization.	4
This organization is above average in the performance of this activity.	3
This organization's performance is average in this activity.	2
This organization performs this activity poorly.	1
This organization does not do this activity at all.	0
The activity is not applicable to the organization.	NA

Table 23.2 presents the descriptive statements that can help you to articulate the internal strengths and weaknesses of, and external threats to and opportunities for, the governance of the organization.

TABLE 23.2 Sample self-assessment instrument descriptive statements

#	Statement	Maximum score
1.	The governing body has a clear understanding of its purpose and role.	4
2.	Members of the governing body understand their responsibilities in the governing body well.	4
3.	The governing body monitors the organization's financial performance compared to financial goals set by the governing body.	4
4.	Governing body members are required to complete a conflict-of-interest/confidentiality disclosure statement annually.	4
5.	As a whole, our governing body communicates effectively with the Managing Director/Chief Executive.	4
6.	The governing body is actively involved in establishing the organization's strategic direction (e.g., creating a longer-range vision, setting priorities, and developing/approving the strategic plan).	4
7.	Governing body members strive to represent the health care needs of the organization's target population groups.	4
8.	Governing body members make attendance at governing body meetings a high priority.	4
9.	The governing body makes good use of the time available during governing body meetings to perform its duties.	4
10.	The governing body regularly reviews the organization's quality and results (patient safety scores, for example).	4
11.	Governing body members recognize the differences between the governing body's role and management's role.	4
12.	The governing body requires that all plans in the organization (e.g., financial, capital, operational, quality improvement) be aligned with the organization's overall strategic plan and direction.	4

#	Statement	Maximum score
13.	The governing body requires management to keep the governing body informed about potential or current legal issues important to the organization.	4
14.	Governing body members communicate effectively with the Chief Executive.	4
15.	The governing body has an orientation program for new governing body members.	4
16.	The governing body considers how the organization's strategic plan addresses community health status and needs before approving the plan.	4
17.	The governing body requires an assessment at least every two years of the perceptions of those who work in the organization to identify their level of satisfaction with the organization.	4
18.	Governing body members participate in educational opportunities on issues affecting its governance.	4
19.	The expectation that governing body members advocate on behalf of the organization is clearly established during orientation for governing body members.	4
20.	Governing body self-assessment is treated as a top priority by the governing body.	4
21.	The governing body has a written policy or procedure describing ethical practices for financial and service quality reporting.	4
22.	Governing body members assist the organization in communicating with key external stakeholders.	4
23.	Governing body members actively support the organization's resource mobilization or fundraising activities.	4
24.	The governing body uses the ability to advocate on behalf of the organization as a criterion in the selection process of new governing body members.	4
25.	The governing body encourages an organizational culture that fosters high health worker and staff morale.	4
Total		100

Notes:

Statements 1, 2, 5, 8, 10, and 13 are based on the practice of cultivating accountability.
 Statements 11, 14, and 22 are based on the practice of engaging stakeholders.
 Statements 6, 7, 12, and 16 are based on the practice of setting shared strategic direction.
 Statements 3, 4, 17, 21, 23, and 25 are based on the practice of stewarding resources.
 Statements 9, 15, 18, 19, 20, and 24 are based on the practice of continuous governance enhancement.

Open-ended questions. Open-ended questions, such as those provided in Box 23.3, allow respondents to express their perspectives about the strengths, weaknesses, opportunities, and threats that affect organizational governance.

BOX 23.3 Open-ended questions for governing body self-assessment

1. What is the biggest internal strength in the governance of this organization?
2. What is the biggest internal weakness in the governance of this organization?
3. What is the biggest external opportunity for the governance of this organization?
4. What is the biggest threat to the governance of this organization?

WHAT DO THE SCORES MEAN?

An average governance score for the given year will place the organization in a corresponding stage of governance effectiveness. See Table 23.3 for details and a definition of each of these stages.

TABLE 23.3 What do the scores mean?

Governance score	Stage of governance maturity
25 or less	<p>Level 1: Clear need for governance development. No formal governance structures, practices, and infrastructure are in place; or they are rudimentary and just getting established; or they are at elementary stage of development. At this level of maturity, governance processes are usually not used as a key lever for achieving stronger organizational performance.</p>
26 to 50	<p>Level 2: Basic level of governance. At this level, governance structures and infrastructure start evolving because the leaders who govern see value in developing them. There are leaders and a few champions who succeed in their personal efforts of inspiring their peers. Governance processes and decisions start delivering value to the organization. However the organization still struggles to become successful and is inhibited by a lack of governance maturity. Practices of good governance are not yet assessed or applied consistently. This is the stage where organizations that are committed to improving their performance become interested in good governance and want to develop optimum governance structures, practices, and infrastructure to reach the next level of governance maturity.</p>
51 to 75	<p>Level 3: Goal-driven and dynamic governance. Good governance is delivering value and leading the organization to higher performance. Governance at this level is running like a “well-oiled machine” and consistently has a positive impact on the organization. Principles and practices of governance are explicit and known by all concerned in the organization. Practices of good governance are consistently applied, and their application is regularly assessed. Desirable outcomes include sound management and reliable service delivery.</p>

Governance score	Stage of governance maturity
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76 to 100

Level 4: Transformational governance. This level indicates that an institution has achieved a high level of governance maturity. Practices of good governance are consistently applied at all levels of the organization. There is a continuous effort to assess and improve governance. Governance practices are not only attaining desirable outcomes, but also creating competitive advantage for the organization. Today, few organizations have reached this level of governance commitment in their institution, because many years of experience are needed to achieve the necessary changes in the culture of governance. This is where governance maturity contributes to organizational agility.

WHAT ABOUT MORE ADVANCED GOVERNANCE SELF-ASSESSMENT?

For a more thorough analysis of your organization's governance, you may wish to consider the Advanced Governance Assessment, part of the [GovScore app](#).¹ See [Appendix 23.1](#) for an example and offline version of the assessment.

What Is the Difference between the Self-Assessment Described Above and the Advanced Governance Assessment?

The former is a basic, high-level governance assessment instrument whereas the advanced self-assessment goes much deeper into examining the practices of good governance.

Who Should Take the Advanced Governance Assessment?

We recommend that the governing body chair, chief executive, governing body members, and senior management team take the assessment. Others may not have enough information to accurately answer the assessment questions. Participants can take the assessment collectively in a special meeting convened for the purpose, or they can take it individually and then aggregate the results.

Assessment Results

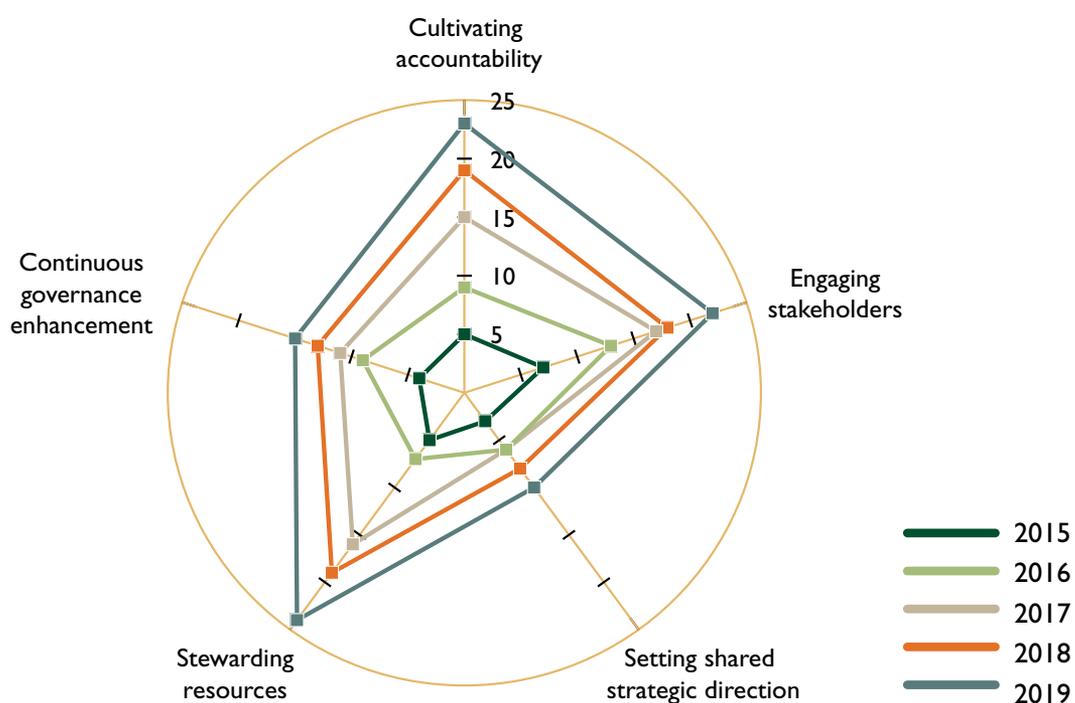
The Advanced Governance Assessment will provide an organizational governance report that details the results by practices and their domains with graphs depicting the areas measured in priority order, from highest to lowest average score. See Table 23.4 and Figure 23.1 for examples of these resources.

1. MSH, "GovScore" (Medford, MA: Management Sciences for Health, Leadership, Management, and Governance Project, 2015). Available at: <http://govscoreapp.net>

TABLE 23.4 Sample organizational governance maturity results over five years

Practice areas	Max. score	2015	2016	2017	2018	2019
Cultivating accountability	24	5	9	15	19	23
Engaging stakeholders	24	7	13	17	18	22
Setting a shared strategic direction	12	3	6	6	8	10
Stewarding resources	24	5	7	16	19	24
Continuous governance enhancement	16	4	9	11	13	15
Total score:	100	24	44	65	77	94
Corresponding stage of governance maturity:		Level 1	Level 2	Level 3	Level 4	Level 4

FIGURE 23.1 Graph of governance maturity results. This chart visualizes the changes over five years. Note the greatly expanded covered area in 2019 compared to 2015.



WHERE DO WE FIND EVIDENCE THAT GOVERNANCE IS WORKING WELL?

How do you know your organization's governance is improving? When governance leaders working with senior management and key stakeholders govern well, it reflects in the measures of the organization's performance. The organization will make—and will be seen to be making—steady progress in its strategic direction and toward its strategic long-term priorities.

Well-governed health systems are able to provide health care that is safe, timely, efficient, equitable, effective, and patient- or health-service-user-centered. Good governance reflects in many ways in addition to the measures of the organization's performance. Some examples are:

- better morale of health managers, health providers, and health workers;
- sound management systems for the management of money, medicines, human resources, and information (meaning that the right people are in the right positions, doing the right work, at the right time, with the right competencies, with the right supplies and commodities and equipment, and for the right people, at the right level of quality and at reasonable cost);
- less turnover among staff and managers;
- better service availability, utilization, and quality;
- higher patient or health service user satisfaction;
- more accurate and timely collection, reporting, and use of health data.

WHAT ARE THE LIMITATIONS OF SELF-ASSESSMENT?

A disadvantage of self-assessment as a method of obtaining data is the greater chance of measurement error. This measurement error could be intentional or unintentional. Unintentional errors arise when questions are unclear or ambiguous, when there are limitations to respondents' comprehension or memory, or when the measurement scales used are not clear. Intentional errors occur when respondents might deliberately alter their responses because of social desirability, boastfulness, or modesty.

Measurement bias can be mitigated through methods like supplementing the self-assessments with objective measures, where possible, and involving external stakeholders in the measurement process. You may also wish to periodically measure the organization's performance in terms of attainment of its strategic goals, along with measurement of governance. This will help you assess the impact of the organization's governance on its performance.

APPENDIX 23.1

ADVANCED GOVERNANCE ASSESSMENT INSTRUMENT

Governance Domain	Description	Column A	Column B	Column C	Column D	Tot	
Practice: Cultivating Accountability							
1	Culture of personal accountability	There is a culture of personal accountability among the governance leaders, managers, and employees of the organization.	Governance and management leaders share information with stakeholders, community members, and health professionals and health workers.	Leaders of the organization give the opportunity to internal and external stakeholders to question their decisions.	Leaders of the organization answer questions from stakeholders, and welcome constructive feedback on their actions and decisions.	Leaders of the organization accept responsibility for the present situation and the future success of the organization.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
2	Nurturing accountability of the organization to its external stakeholders and its social accountability	The organization is accountable to its external stakeholders.	Governance and management leaders of the organization establish goals and standards against which their performance can be judged.	Governance and management leaders disclose credible information about the strategy, goals, standards, and performance to the public and key stakeholders.	Governance and management leaders establish mechanisms to investigate whether they and their organization have met the expected standards, goals, and targets.	Governance and management leaders establish a process under which those who are responsible, including themselves, are held accountable for falling below the standards expected or are recognized for achieving or exceeding the standards.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					

Governance Domain	Description	Column A	Column B	Column C	Column D	Tot	
3	Fostering internal accountability in the organization and supporting accountability of health providers and health workers	The organization is accountable to its internal stakeholders.	Goals or tasks are clear to all in the organization. Managers, medical professionals and health workers know to whom they are accountable and for what.	Managers, medical professionals and health workers have sufficient resources to be able to succeed.	Performance and targets achieved are monitored in a transparent manner, using a process in which managers, medical professionals and health workers explain their decisions. Results are measured and explained to internal and external stakeholders.	There are consequences for non-performance or under-performance, and there is recognition and reward for excellent performance.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
4	Measuring performance	There is a culture of measuring results in the organization.	There is performance measurement policy in the organization.	Pursuant to this policy, measures for all strategic and operational objectives are identified and used in the organization.	Emphasis is on celebrating excellent performance rather than apportioning the blame.	Performance information is used to refine programs and policies.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
5	Sharing information	There is a culture of sharing information internally in the organization or with its external stakeholders.	The organization generates timely and accurate information in simple and readily comprehensible language and formats.	Access to information is given to those who are affected by decisions, transactions, or the work of the organization.	Reports on finances, activities, plans, and performance are made available to the public, and they are formally shared with the stakeholders, staff, regulatory bodies, and the media.	Modern information and communication technologies are used for wider and effective dissemination of information.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					

Governance Domain	Description	Column A	Column B	Column C	Column D	Tot	
6	Effective oversight of service delivery	There is governance oversight in the organization. Policies and decisions are implemented.	The governance and management leaders of the organization are mission-focused. They make sure that policies exist for measuring and improving quality of services provided by the organization.	The governance and management leaders monitor the quality of the services the organization provides using dashboards or other tools. They regularly celebrate innovations and quality improvements taking place in the organization.	The governance and management leaders ensure that internal and external stakeholder input is used in quality improvement.	The governance leaders evaluate performance of the senior management on a regular basis.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
Practice: Engaging Stakeholders							
7	Achieving sincere stakeholder engagement	The organization and its governance leaders engage with key stakeholders.	The governance leaders and senior managers keep stakeholders, community members, and health workers informed.	The governance leaders and senior managers listen to concerns of the people, employees, and stakeholders, and provide feedback to them.	The governance leaders and senior managers coordinate with stakeholders, community members, and health workers to make sure that their concerns are directly reflected in the governance decisions.	The governance leaders and senior managers work with the people and the health workers to formulate solutions, and frequently put decision-making in the hands of the people.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
8	Building trust	The organization and its governance leaders inspire trust, they are trustworthy.	The governance and management leaders of the organization do what is good for the organization and its service users.	The governance and management leaders make their promises and commitments carefully and often keep them.	The governance and management leaders deal with difficult issues with courage before they turn into major problems.	The governance and management leaders are just and fair in their decisions.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					

Governance Domain	Description	Column A	Column B	Column C	Column D	Tot	
9	Engaging with patients or service users	The governance leaders and management leaders engage with patients or users of the services the organization provides.	Senior leadership of the organization is committed to engage with patients or health service users.	The employees and staff of the organization are trained to provide patient-centered care or user-centered services.	There is regular measurement of patient or service user satisfaction and the feedback is used for improving the quality of services.	There are mechanisms available for the patients or service users to communicate their voice.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
10	Engaging with doctors, other clinicians, and health workers	The governance leaders and management leaders engage with doctors, other clinicians, or health workers.	The governance and management leaders discover common purpose with health workers such as improving service quality to meaningfully engage with health providers.	The governance and management leaders make it easy for doctors, nurses and clinicians to do the right thing for patients or health service users.	The governance and management leaders make it easy for doctors and clinicians to participate in governance decision making processes.	The governance and management leaders support doctors and clinical leaders to take positions on the governing body, and also provide them professional development opportunities on a regular basis.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
11	Collaborating with other sectors	The organization has a culture of intersectoral collaboration.	The governance and management leaders of the organization go out of their way to make new connections and invest energy and time in building relationships with the leaders in other sectors that impact health.	The governance and management leaders draw on as many perspectives from other sectors as possible.	The organization has established governance structures to reach out to other sectors.	The organization has funding arrangements to support actions on the social determinants of health across many different sectors to attain health objectives.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					

Governance Domain	Description	Column A	Column B	Column C	Column D	Tot	
12	Realizing gender-responsive governance	The organization is particularly responsive to the needs of women and people of gender identities other than men.	The governance and management leaders consider the different needs of women and men before making their decisions, and the decisions respond to these different needs.	The governance and management leaders consult women and men in governance and management positions, women and men clinicians, women and men health workers, and women and men health service users, or women's organizations before making their decisions.	The governance and management leaders consider the implications of their decisions on health service users as a whole and women and men users of health service separately, and also on health workers as a whole and women and men health workers separately.	Performance is measured and reported disaggregated by gender. Aggregate evidence and also sex-disaggregated evidence is considered before making their decisions.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
Practice: Setting Shared Strategic Direction							
13	Defining the strategic direction of the organization	The organization has a strategic direction.	The governance and management leaders of the organization have developed the strategic direction or vision for the organization.	The governance and management leaders have a defined strategy and action plan with measurable goals to achieve this vision.	The governance and management leaders have raised and allocated resources to implement the action plan and accomplish the vision.	The governance leaders do not preoccupy themselves with day-to-day operational and management matters. They have set up accountabilities, and they make decisions to accomplish the strategic action plan.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
14	Establishing a shared vision among key stakeholders	The key stakeholders of the organization play a role in defining or achieving the strategic direction.	The key stakeholders of the organization agree with the vision and the strategic direction of the organization.	The key stakeholders of the organization agree with the strategic plan of the organization.	The governance and management leaders inspire everyone in the organization and its key stakeholders to achieve the organization's vision.	Progress is reported to the key stakeholders of the organization on a regular basis, and they are able to monitor the implementation of its strategic plan.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					

Governance Domain	Description	Column A	Column B	Column C	Column D	Tot	
15	Enabling and exercising leadership in the organization	The governance leaders, managers, health providers, and health workers exhibit leadership behaviors.	Leadership is exercised at all levels in the organization. Leaders who govern or governance leaders, senior managers, clinician leaders, and leaders of health worker teams exhibit leadership behaviors.	Governance leaders govern in a strong partnership with the senior management, health providers and health workers, and community leaders.	The organization invests in continuing leadership education at all levels by providing opportunities for participation in formal leadership development programs, mentoring programs, study tours, peer interactions, and executive education programs, and access to the state of the art knowledge resources.	The organization has moved away from scattered, disconnected activities towards purposeful, interconnected actions.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
Practice: Stewarding Resources							
16	Mobilizing resources	The governance leaders have been able to mobilize adequate resources from diverse sources for the organization to be able to provide satisfactory services at present and in the future.	The governance leaders have been able to mobilize adequate resources for the organization to be able to provide satisfactory services.	The governance leaders have been able to mobilize adequate resources to accomplish the organization's mission and plans.	The governance leaders have been able to mobilize adequate resources to continue its activities in the future and also expand activities to keep up with population growth and with the additional demands created by the epidemiological situation.	The governance leaders have been able to raise the needed resources from <i>diverse</i> sources.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					

Governance Domain	Description	Column A	Column B	Column C	Column D	Tot	
17	Wisely using resources	The resources of the organization are efficiently used.	Every dollar spent in the organization advances the mission of the organization. The governance leaders monitor and evaluate financial performance on a regular basis using actual financial data and dashboards.	The governance leaders make their expectations in terms of financial results and service quality clear to the senior management ahead of the time period, and closely monitor achievement of these results.	The governance leaders ensure that the organization maintains a good financial standing, it is audited in a professional way, adequate internal controls are in place and warning signs are pursued when something is wrong.	The governance leaders have created opportunities for the public and health service users to be included in monitoring and evaluating how resources are raised, allocated, and used and how health services are provided.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
18	Pursuit of efficiency and sustainability	The organization pursues efficiency and sustainability in its activities and services.	The governance leaders insist on costing of services. Cost data is available for various services provided by the organization.	Cost per outcome data is available in the organization.	The governance leaders have embedded efficiency into every aspect of the business and financial planning or the organization.	They build the financial capacity of the organization to continue its activities in the future and to expand them as needed.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
19	Use of information, evidence, and technology	Information, evidence, and technology are used in governance of the organization.	The organization uses modern information and communication technologies for promoting transparency, cultivating accountability, engaging with stakeholders, and stewarding resources.	The organization uses modern information and communication technologies for monitoring service delivery.	Citizens use technology in the monitoring of health services, such as using mobile phones to report on the availability of medicines and vaccines, stock-outs, waiting time at clinics, health worker payments, functionality of equipment, etc.	eProcurement or Internet is used to publish contract and procurement opportunities for goods and services.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					

Governance Domain	Description	Column A	Column B	Column C	Column D	Tot	
20	Practice of ethical and moral integrity	There is personal integrity, truthfulness, honesty, and sense of responsibility in the organization.	The organization has a code of conduct and ethics and it is widely followed from the top to bottom. There is whistleblower protection and an ethics violation reporting mechanism.	All stages of plan and budget formulation, execution, and reporting are accessible to the public and key stakeholders.	Policies, practices, budget, expenditures, and performance information are made open to stakeholder and public scrutiny.	Stakeholders and the public play a role in the oversight of activities of the organization.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
21	Eradicating corruption	Corruption is minimal in the organization.	It is not likely that the health service user would have to offer money, a present or a favor (more than official charge) to get service in the organization.	The organization demonstrates transparency in procedures and decisions on high value procurement and contracts.	The service users are able to participate in governance structures and they have a mechanism to report corruption.	There is a zero tolerance policy in the organization which means when an instance of corruption is discovered by the organization, the involved governance leaders, managers or staff are subjected to swift and decisive disciplinary action.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
Practice: Continuous Governance Enhancement							
22	Cultivating governance competencies	The leaders who govern the organization have the competencies needed to govern the organization well.	The leaders who govern the organization have skills in cultivating accountability, engaging stakeholders, setting shared strategic direction, and mobilizing resources.	The leaders who govern the organization have skills for leading change, working in collaborative fashion, managing complexity, leading teams, and developing talent.	The leaders who govern the organization have a talent for innovative thinking, impact and influence, and relationship building.	The leaders who govern the organization have knowledge of issues in health care business and finance, and human resources for health.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					

Governance Domain	Description	Column A	Column B	Column C	Column D	Tot	
23	Building diversity in the organization	Diversity is valued in the organization.	The organization has a commitment to establishing diversity in its governance, management, and service delivery.	All important stakeholder constituencies are represented on the governing board.	The employees of the organization are diverse in terms of gender, age, race, ethnicity, sexual orientation, socio-economic status, and religious and political beliefs.	The service users of the organization are diverse in terms of gender, age, race, ethnicity, sexual orientation, socio-economic status, and religious and political beliefs.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
24	Organizing governance orientation and continuous governance education	There is governance orientation and continuous governance education in the organization.	There is a formal orientation program and ongoing education program for the governing body or the leaders who govern. The governing body has a written policy and budget for its education & development.	The ongoing education program of the governing body or the leaders who govern is tied to the organization's strategic challenges.	Each meeting of the governing body includes an education component.	Governance education is designed in such a way that it helps fill the knowledge and skill gaps in the governing body as seen in regular governance self-assessments.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					
25	Performing regular governance assessments and working for continuous governance enhancement	There is a culture of governance assessment and improvement in the organization.	The governing body or the leaders who govern conduct a formal process to evaluate their own performance.	The governing body or the leaders who govern use the assessment process to identify specific improvement opportunities, define specific performance improvement goals, and include them in the plan for improvement.	The governing body or the leaders who govern continuously improve their own performance by working on weak areas noticed in the assessment.	The governing body or the leaders who govern use their governance education in improving the organization's performance.	
		Score range	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	No=0, Yes=1	4
		Score you give					