



BC Provincial Health Services Authority 2004 Board Self Assessment



SEPTEMBER 2004

PROVINCIAL HEALTH SERVICES AUTHORITY BOARD SELF-ASSESSMENT

	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree
Mission					
1. The PHSA has a coherent mission statement.	<input type="checkbox"/>				
2. The mission statement has been communicated to key stakeholders.	<input type="checkbox"/>				
Fiduciary Duty					
3. PHSA has articulated roles and responsibilities for Board members.	<input type="checkbox"/>				
4. There are control mechanisms in place to protect the organization, the Board members and senior management from conflicts of interest and dishonesty.	<input type="checkbox"/>				
5. Board members understand clearly their responsibilities, duties and legal liabilities.	<input type="checkbox"/>				
6. The Board makes effective policy decisions for the organization.	<input type="checkbox"/>				
7. The Board has systems in place for the identification of the principal risks to PHSA's business.	<input type="checkbox"/>				
8. The Board ensures the implementation of appropriate systems to manage the principal risks to PHSA's business.	<input type="checkbox"/>				
Board Culture					
9. The Board has a culture and climate that promotes effective communications and decision making.	<input type="checkbox"/>				

	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree
Board Culture (Continued)					
10. Directors and management work together to achieve “constructive interaction” in a healthy atmosphere of give and take.	<input type="checkbox"/>				
11. Board members feel free to speak out openly and honestly without fear of criticism, even when voicing a minority position.	<input type="checkbox"/>				
12. Differences of opinion are fully ventilated and accepted gracefully.	<input type="checkbox"/>				
Board Structure and Process					
13. All Board members comprehend their overarching duties, including the duty of care and the duty of loyalty.	<input type="checkbox"/>				
14. Each new Board member is properly oriented and integrated through written material and direct contact with the Board Chair, other Board members, and management.	<input type="checkbox"/>				
15. The Board is structured (through committees, board meetings, etc.) to discharge effectively its duties and responsibilities.	<input type="checkbox"/>				
16. Charters are in existence for the full Board and for each committee.	<input type="checkbox"/>				
17. Committees regularly review performance against their specific responsibilities and goals.	<input type="checkbox"/>				
18. Board members have ready access to all required information and, through the CEO, the principal staff and line managers.	<input type="checkbox"/>				
19. Committees report their activities, decisions, and recommendations to the full Board in a concise, understandable manner.	<input type="checkbox"/>				

	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree
Board Structure and Process (Continued)					
20. Board meetings are tightly organized to maximize time spent on strategic issues and policy decisions. Time devoted to routine matters is minimized.	<input type="checkbox"/>				
21. The Board has in place mechanisms to ensure that employees act in accordance with a prescribed code of conduct.	<input type="checkbox"/>				
Board Operation, Responsibilities and Accountabilities					
22. The Board is a suitable size to allow for individual Board member involvement and accountability.	<input type="checkbox"/>				
23. The Board represents the interests of the PHSA well, morally and legally.	<input type="checkbox"/>				
24. The Board interprets the interests of PHSA to management.	<input type="checkbox"/>				
25. Sufficient time is allocated at Board meetings for discussion of agenda items.	<input type="checkbox"/>				
26. Board discussions can be typically characterized as frank and constructive.	<input type="checkbox"/>				
27. Presentations at Board meetings are informative and useful.	<input type="checkbox"/>				
28. The Board has, or is provided with, the proper tools and knowledge to fulfill its responsibilities.	<input type="checkbox"/>				
29. The Board monitors the PHSA's performance relative to budget and other financial measures to ensure that the PHSA is performing as projected.	<input type="checkbox"/>				

Board Operation, Responsibilities and Accountabilities (Continued)	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree
30. The Board is satisfied that the financial results are reported fairly and in accordance with generally accepted accounting standards.	<input type="checkbox"/>				
31. The parties within the PHSA responsible for each of the following areas have been clearly identified:					
a. Legislative compliance	<input type="checkbox"/>				
b. Financial & risk management	<input type="checkbox"/>				
c. Medical affairs	<input type="checkbox"/>				
d. Internal audit	<input type="checkbox"/>				
e. External audit	<input type="checkbox"/>				
f. Quality & access	<input type="checkbox"/>				
32. Management states annually that all legal requirements have been met, and documents and records have been properly prepared, approved and maintained.	<input type="checkbox"/>				
33. There are clear written terms of reference for each of the parties responsible for the functions listed above.	<input type="checkbox"/>				
34. There are clear and objective measures of performance of the following areas:					
a. Legislative compliance	<input type="checkbox"/>				
b. Financial & risk management	<input type="checkbox"/>				
c. Medical affairs	<input type="checkbox"/>				
d. Internal audit	<input type="checkbox"/>				
e. External audit	<input type="checkbox"/>				
f. Quality & access	<input type="checkbox"/>				

	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree
Board Operation, Responsibilities and Accountabilities (Continued)					
35. There is a process in place to prepare regular reports to appropriate stakeholders and evaluate the attainment of performance in these areas.	<input type="checkbox"/>				
36. The Board focuses primarily on future planning.	<input type="checkbox"/>				
37. I am satisfied with the overall functioning of the Board.	<input type="checkbox"/>				
Board Review of Operations					
38. The Board devotes adequate time to reviewing annual budgets, capital spending, and the financial integrity of the organization.	<input type="checkbox"/>				
39. The Board receives, comments upon and monitors long-range forecasts of performance.	<input type="checkbox"/>				
40. The Board reviews operating performance of major segments of PHSA operations against targets and inquires into the factors contributing to major performance variations.	<input type="checkbox"/>				
41. Organizational strengths and weaknesses, threats and opportunities and business risks are well understood and monitored by the Board.	<input type="checkbox"/>				
Board Strategy					
42. The Board members agree on a common vision and mission for the PHSA.	<input type="checkbox"/>				
43. The Board spends a sufficient amount of time discussing the long-range future of the organization.	<input type="checkbox"/>				
44. The Board engages proactively in reviewing and approving the PHSA's strategic initiatives and direction.	<input type="checkbox"/>				

	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree
Board Strategy (Continued)					
45. A significant portion of every Board meeting is devoted to discussion of strategic issues.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
46. Each Board member participates constructively in strategic discussions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
47. Management has responded properly to directors' comments, questions, criticisms, and suggestions regarding strategic plans and actions to carry them out.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
48. There are processes in place to review the implementation of strategies and to measure their attainment.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
49. Strategic goals are tied strongly to metrics such as financial goals, quality performance, etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
50. Organizational long-term performance is measured primarily against strategic goals.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
51. The organization's strategies have been improved as a result of Board input.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Board Strategic Planning and Direction					
52. Please choose the statement which best describes the board's involvement in PHSA's strategic planning process. (<i>Select <u>one</u> only</i>)					
<input type="checkbox"/>	Board or Board committee develops and drafts the strategic plan hands-on.				
<input type="checkbox"/>	Board initiates or leads the strategic planning process; formally approves plan.				
<input type="checkbox"/>	Board has input to strategic plan at one or more meetings; doesn't formally approve.				
<input type="checkbox"/>	Board has input to strategic plan at one or more meetings; formally approves it.				
<input type="checkbox"/>	Management drafts plan without board involvement; Board approves.				
<input type="checkbox"/>	Management drafts plan without board involvement; Board just gets a copy.				
<input type="checkbox"/>	No formal involvement by board, ad hoc consultation if specific issue arises.				

	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree
Board Strategic Planning and Direction (Continued)					
53. Please choose the statement which best describes the Board's participation in setting risk management policy for the PHSA. (<i>Select <u>one</u> only</i>)					
<input type="checkbox"/>	Board develops and drafts risk management policy for the PHSA hands-on.				
<input type="checkbox"/>	Board provides input to risk management policy at one or more meetings; formally approves.				
<input type="checkbox"/>	Management has documented approach to risk management policy; Board formally approves.				
<input type="checkbox"/>	No formal involvement by board; ad hoc consultation if specific issue arises.				
54. Please identify the extent to which the board is involved in internal control and management systems. (<i>Select <u>one</u> only</i>)					
<input type="checkbox"/>	Board or Board committee has hands-on role in drafting internal control and management systems.				
<input type="checkbox"/>	Board directs development of new control systems or changes to existing ones.				
<input type="checkbox"/>	Board has reviewed and formally approved control and management systems in place.				
<input type="checkbox"/>	Board has reviewed but not formally approved control and management systems in place.				
<input type="checkbox"/>	Little involvement to date.				
55. Management adequately develops strategic, operating and capital plans for the Board of Directors' consideration and review.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
56. The Board ensures that the strategy review process is effective.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
57. The Board is satisfied that the strategic, operating and capital plans are achievable and achieve PHSA's objectives and strategic plans.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
58. I have confidence in the strategic direction the PHSA is taking.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
59. I am kept well informed of progress in implementing key strategic decisions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree
Executive Succession and Assessment					
60. Which of the following statements best describe the succession planning process for the PHSA? (<i>Check <u>all</u> that apply</i>)					
<input type="checkbox"/>	Board participates in succession planning for key staff indirectly reporting to the CEO.				
<input type="checkbox"/>	Board participates in succession planning for direct reports to the CEO.				
<input type="checkbox"/>	Board has identified one or more potential successors to current CEO.				
<input type="checkbox"/>	Board approves appointment of CEO and officers.				
<input type="checkbox"/>	None of these statements describe activities of the Board.				
61. The Board understands and approves the basis for the CEO's compensation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
62. The Board understands and approves the basis for the compensation of the senior management.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
63. The Board has sufficient information about and access to other PHSA executives for the purposes of considering them in the succession planning process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
64. The Board does a good job of evaluating the performance of the CEO.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Board Information and Communication					
65. The information I receive prior to Board meetings enables me to effectively evaluate Board agenda items.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
66. Financial information is presented in a way that highlights significant issues.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
67. I am kept well informed of all material issues affecting the PHSA.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree
Board Information and Communication (Continued)					
68. Please <i>check all statements</i> which describe the Board’s involvement in communications with stakeholders:					
<input type="checkbox"/>	Board approves press releases on all material matters, not just financial statement releases.				
<input type="checkbox"/>	Board has participated in developing corporate policy regarding communications with most external audiences.				
<input type="checkbox"/>	Board discusses communication issues as they arise.				
69. The Board “speaks with one voice” in all communications with stakeholders.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
70. There are well defined processes for effective communication to stakeholders.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Board Composition					
71. A procedure exists to evaluate and attract Board members who fulfil the present and future needs of the Board.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
72. The Board is appropriately diversified with respect to geography and demographics such as rate and gender.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Board Member Nomination, Orientation and Assessment					
73. The current nomination process for Board members is effective.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
74. The Board is composed of members who have the right mix of skills and experience.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
75. Directors are properly compensated.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
76. I find any ongoing Board education sessions to be effective.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
77. The process for assessing Board effectiveness contributes to the development of the Board.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

		Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree
Board Member Nomination, Orientation and Assessment (Continued)						
78. Please check the statement which best describes how the contributions of individual Board members are assessed. (<i>Select <u>one</u> only</i>)						
<input type="checkbox"/>	No process in place to date.					
<input type="checkbox"/>	If necessary, Chair meets with individual directors to discuss any problems with their contributions to the Board.					
<input type="checkbox"/>	Self-assessment by individual Board members; input to and feedback from Chair or designated committee					
<input type="checkbox"/>	Peer review process in place.					
<input type="checkbox"/>	Other (Please describe) _____					
79. Please check the statement which best describes the orientation process to inform new Board members about the PHSA's business. (<i>Check <u>all</u> that apply</i>)						
<input type="checkbox"/>	PHSA pays for seminars and other educational programs for new directors.					
<input type="checkbox"/>	Board has orientation manual.					
<input type="checkbox"/>	New Board members visit the PHSA's operations separate from regular Board meetings.					
<input type="checkbox"/>	Board members undergo formal orientation process with the Board and with senior management.					
<input type="checkbox"/>	No formal process, Board members learn on the job.					
Board Structure and Independence						
80. Corporate Governance issues are tabled as items for discussion and analysis by the whole Board.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
81. In the past year the Board held two or more meetings, or portions of meetings, without senior management present (i.e. in camera).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
82. The Board has a known procedure by which they can retain outside advisors for purposes of "independence."	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
83. The Board is satisfied there is adequate policy and practice to review the structure and composition of Board committees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree
Board Structure and Independence (Continued)					
84. The Board is satisfied there is adequate policy and practice to establish and regularly review Board committee mandates.	<input type="checkbox"/>				
85. The Board is satisfied that the Audit Committee mandate promotes independent and comprehensive oversight, with timely and regular reporting to the Board.	<input type="checkbox"/>				
86. With respect to each of the oversight functions on which it relies, the Board:					
a. Approves the appointment of the CEO.	<input type="checkbox"/>				
b. Approves the appointment of the Vice-President of Medicine.	<input type="checkbox"/>				
c. Approves the appointment of the Internal Auditor.	<input type="checkbox"/>				
d. Approves the appointment of the External Auditor.	<input type="checkbox"/>				
87. With respect to each of the oversight functions on which it relies, the Board:					
a. Ensures that the CEO has adequate authority, independence and resources to carry out their mandate.	<input type="checkbox"/>				
b. Ensures that the Vice-President of Medicine has adequate authority, independence and resources to carry out their mandate.	<input type="checkbox"/>				
c. Ensures that the Internal Auditor has adequate authority, independence and resources to carry out their mandate.	<input type="checkbox"/>				
d. Ensures that the External Auditor has adequate authority, independence and resources to carry out their mandate.	<input type="checkbox"/>				

	Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree
Board Structure and Independence (Continued)					
88. With respect to each of the oversight functions on which it relies, the Board:					
a. Provides the CEO with unrestricted access to the Board and/or its committees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Provides the Vice-President of Medicine with unrestricted access to the Board and/or its committees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Provides the Internal Auditor with unrestricted access to the Board and/or its committees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Provides the External Auditor with unrestricted access to the Board and/or its committees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
89. With respect to each of the oversight functions on which it relies, the Board requires periodic independent reviews of the functions:					
a. CEO	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Vice-President of Medicine	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Internal Auditor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. External Auditor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
90. In which of the activities listed does the Board explicitly take part? (<i>Check <u>all</u> that apply</i>)					
<input type="checkbox"/>	Approving position descriptions for Chairs of the Board committees.				
<input type="checkbox"/>	Approving position description for members of the Board.				
<input type="checkbox"/>	Approving position description for the Chair of the Board.				
<input type="checkbox"/>	Approving position description for CEO, including his/her accountabilities for the Board.				
<input type="checkbox"/>	Approving explicit performance objectives for the CEO for each fiscal year.				

Please complete the following questions.

91. Please describe the most significant example of risk analysis that your Board conducted in the past year, and the nature of the Board's contribution.

92. Is there anything else on the topic of corporate governance that you would like to communicate?

93. What was the Board's most significant achievement in the past year?

94. What was the Board's most notable shortcoming in the past year?

95. What one specific recommendation would you make to improve Board effectiveness?

96. Are there any questions on which you would like to comment and/or elaborate?
