

GovScore: A Mobile-Based Governance Self-Assessment, Reporting, and Improvement System for Measuring and Enhancing Maturity of Health System Governance

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Promote Global Health and Strong Health Systems

Governance maturity and assessment
Organizational development
Health systems governance assessment

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A Mobile-Based Governance Self-Assessment, Reporting, and Improvement System for Measuring and Increasing Maturity of Health System Governance

Executive Summary

Maturity is the state of being fully developed, or when the most advanced level in a process is reached. Governance maturity thus is the state when the governance structures and processes of an organization are fully developed. Like any other organization, the level of governance maturity has a large influence on a health service organization's effectiveness and performance in delivering health services. The GovScore tool assesses the stage of governance maturity of a participating organization and provides guidance which can be used to set achievable improvement goals and progressively remove barriers to advancing governance practices. Organizations can use the GovScore tool to understand their current governance maturity level, assess where improvements could be made and would add value, and plan for such improvements. Leaders can then use this to periodically reassess their organization and track progress toward their governance performance goals.

Key Assumptions

- An organization's governance maturity is a powerful predictor of the organization's performance.
- Practicing good governance has significant benefits for an organization's performance.¹
- Lack of mature governance structures (governing body, committees, advisory bodies, task forces), practices of good governance (cultivating accountability, engaging stakeholders, setting shared strategic direction, stewarding resources responsibly, continuous governance enhancement), and governance infrastructure (policies, procedures, information systems and technologies) constrains an organization's effectiveness.
- Increasing an organization's level of governance maturity involves significant cultural change requiring experience within each governance practice area and maturity level to advance to the next level.
- Achieving governance maturity may take several years, as an organization needs to mature across all five practices of good governance.

Why Use GovScore?

- To assess your organization's level of governance maturity.
- The results can be used to create realistic goals and expectations for mastering and applying the practices of good governance.
- The assessment can be used as a framework for action-oriented governance enhancement planning.

Governance Maturity Levels

GovScore defines four governance maturity levels.

1. Clear need of governance development
2. Basic level of governance
3. Goal-driven and dynamic governance
4. Transformational governance

As the organization progresses through each level of maturity, its governance structures, practices, and governing infrastructure must also evolve.

Assessment Levels

GovScore has two instruments of assessment—basic and advanced.

1. GovScore (basic)
2. Advanced GovScore

GovScore (basic) is an assessment instrument that takes a top level look at maturity across the five practices of good governance and provides practical next steps that can help an organization improve their governance in practice areas that are weakest.

The Advanced GovScore is more intimate and assesses an organization's maturity within the domains of each governance practice area, serves as an educational tool, and guides the users systematically in thinking through what specific steps they can take to improve their governance based on their score within each domain.

Pre-Requisite for Successfully Using GovScore

The leaders of an organization must have the desire, long-term commitment and necessary resources to improve their organization's governance and performance. Without this commitment, the tool may not yield the intended results.

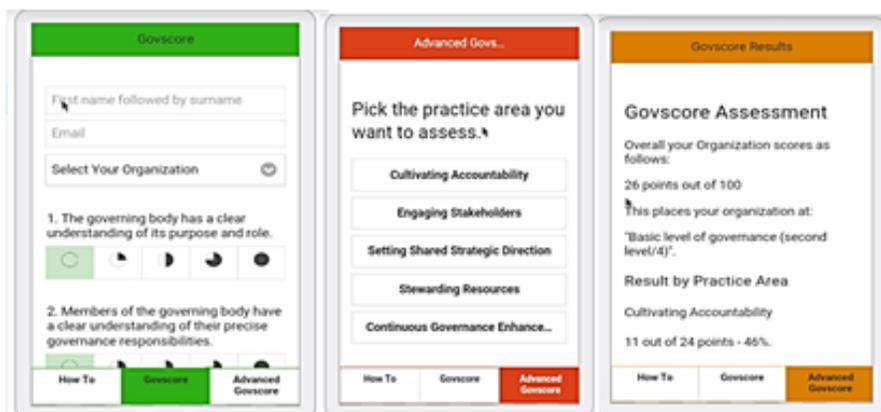


Figure One: GovScore Mobile App as seen on Android, Apple, and Windows phones

Introduction

In the health system context, good governance enables effective and efficient management of people, money, medicines, and information. Sound management in turn facilitates the work of doctors, nurses, other clinicians, and health workers, enabling them to provide safe, timely, effective, and efficient care and services that is respectful of and responsive to individual patient and health service user preferences, needs, and values. Good governance leads to sound management, which supports reliable service delivery and higher organizational performance.

Funded by USAID, the Leadership, Management, & Governance Project (LMG) is helping health leaders and managers strengthen the leadership, management, and governance skills of their health systems to improve health services and achieve better health outcomes for the populations they serve.

To address governance maturity levels within health systems, LMG created GovScore, a governance maturity assessment and improvement tool. GovScore works to help health leaders and managers improve their organizational performance through the periodic assessment and continuous enhancement of their governance practices and systems. GovScore consists of two Mobile App assessments, basic and advanced, for members of an organization to assess their organization in the five governance practice areas and twenty-five governance domains identified by LMG. GovScore aggregates the assessment results from all participating individuals of an organization and presents the organization's governance maturity score with customized guidance for improvement.

This brief presents the two versions of the tool and also describes who should use it, how to use it, and what benefits it provides.

GovScore Framework

Practices of Good Governance

The GovScore tool uses a comprehensive framework for assessing the governance practices. LMG has distilled five practices of good governance (cultivating accountability, engaging stakeholders, setting shared strategic direction, stewarding resources, and continuous governance enhancement) through extensive fieldwork, literature reviews, surveys and interviews, and roundtable discussions; see Figure Two. These practices provide the organizing framework for GovScore. Each practice area has several domains within it that are assessed by the GovScore tool.

1. Cultivating accountability

- 1) Cultivating personal accountability
- 2) Nurturing accountability of the organization to its external stakeholders
- 3) Fostering internal accountability within the organization and among health providers and health workers
- 4) Transparently measuring performance
- 5) Sharing information
- 6) Providing effective oversight, including financial and quality oversight

2. Engaging stakeholders

- 7) Engaging diverse stakeholders
- 8) Building trust
- 9) Engaging with patients or service users
- 10) Engaging with doctors, clinicians, and health workers
- 11) Collaborating with other sectors that impact health
- 12) Realizing gender-responsive governance

3. Setting shared strategic direction

- 13) Defining the strategic direction of the organization
- 14) Establishing a shared vision among key stakeholders
- 15) Enabling and exercising leadership in the organization

4. Stewarding resources responsibly

- 16) Mobilizing resources
- 17) Wisely using resources
- 18) Pursuing efficiency and sustainability
- 19) Using information, evidence, and technology in governance
- 20) Practicing ethical and moral integrity
- 21) Eradicating corruption

5. Continuous governance enhancement

- 22) Cultivating governance competencies
- 23) Building diversity in the organization
- 24) Organizing governance orientation and providing for continuous governance education of the governing body members
- 25) Performing regular governance assessments and working towards continuous governance improvement



Figure Two: Practices of Good Governance

Four Levels of Governance Maturity

LMG has defined four levels of governance maturity. These four levels allow organizations to understand their level of maturity and identify areas of improvement. See Figure Three for the four levels and Table One for the underlying organizational governance scores.

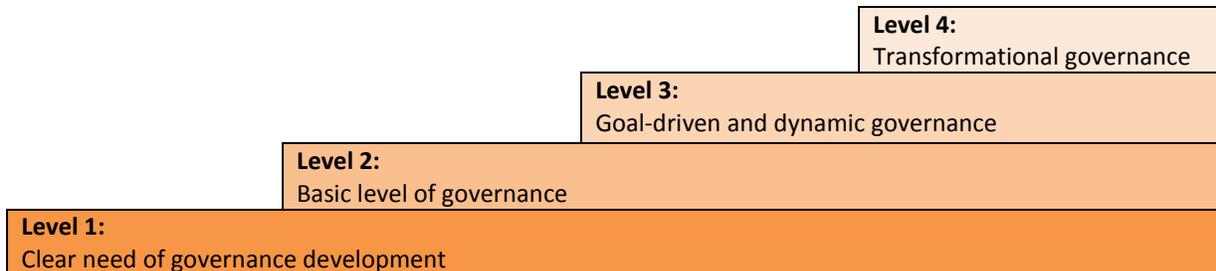


Figure Three: The four levels of governance maturity

| Organizational Governance Maturity Levels | | |
|---|---------------------------------|--------------------------------------|
| Maturity Level | Organizational Governance Score | Level of Governance Maturity |
| 1 | 0 - 24 | Clear need of governance development |
| 2 | 25 - 49 | Basic level of governance |
| 3 | 50 - 74 | Goal-driven and dynamic governance |
| 4 | 75 - 100 | Transformational governance |

Table 1: Organizational governance maturity levels and corresponding GovScore scores as measured by the GovScore Assessment Mobile App

Level 1: Clear need for governance development: No or few formal governance structures, practices, or infrastructure are in place; or they are rudimentary and just getting established, or at the elementary stage of development. At this level of maturity, governance decision-making processes are usually not used and hence are unlikely to serve as a key lever for achieving stronger organizational performance.

Level 2: Basic level of governance: Governance structures and infrastructure are evolving, usually because the organization’s leaders see value in developing them. There are leaders and a few champions who succeed in their personal efforts to inspire their peers, and governance processes and decisions start delivering value to the organization. However, the organization still struggles to improve performance and is inhibited by a lack of governance maturity. Practices of good governance are not assessed or applied consistently and there are poor governing competencies in the governing body members. At this stage, organizations that are committed to improving their performance become interested in being intentional about establishing good governance and want to develop optimum governance structures, practices, and infrastructure to reach the next level of governance maturity.

Level 3: Goal-driven and dynamic governance: Good governance is delivering value and leading the organization to higher performance, for example, higher levels of service quality, service utilization, and cost effectiveness. Governance at this level is producing constructive results and consistently has a positive impact on the organization. Principles and practices of governance are explicit and known by all concerned with the organization. Practices of good governance are consistently applied and their application is regularly assessed. Desirable outcomes include sound management and reliable service delivery, but continuous efforts to assess and improve governance has yet to be entrenched and engrained within the organization.

Level 4: Transformational governance: The institution has achieved a high level of governance maturity, contributing to organizational agility. Practices of good governance are consistently applied at all levels of the organization and there is a continuous effort to assess and improve governance. Governance practices are not only attaining desirable outcomes, but also creating a significant and sustained competitive advantage for the organization. The culture of governance is slow to change, so many years of intentional effort is needed to achieve this level of maturity.

Design of GovScore Tool

Utilizing Low-Cost/Agile Mobile App Development Model

The GovScore Mobile App was created using a low-cost approach with PhoneGap development in HTML5/JavaScript. PhoneGap technology allows for easy HTML 5/JavaScript coding. The higher cost typically seen in Android/iOs Mobile App development was thus avoided.

The GovScore app is easily downloadable by Android and Apple mobile phones from the development site at <https://build.phonegap.com/apps/1237469/builds>. Once finalized, the app will be published on Google Playstore and the iTunes App Store in English, Spanish, French and Portuguese, and will be downloadable at GovScoreGlobal.org, which is maintained by the LMG Project.

Leveraging WordPress Multisite Install (Open Source) for Automated GovScore Reporting of GovScore Results

WordPress is a free, popular, well-architected, and open-source content management and website publishing system. For these reasons, LMG used WordPress to host the GovScore Website (<http://govscoreapp.net/>) that provides back end support to the GovScore app; see Figure Four for the website’s home page. WordPress provides an “all open source” and standards-based cloud hosted solution. It also provides easy federated site management, allowing opportunities for knowledge transfer to local organizations, with the option for local trainings. Developer skills needed to manage WordPress are limited and technology costs are low. This also allows the GovScore reporting site and database to be portable. The current WordPress platform can be decoupled and operated as single WordPress install in the future, if needed.

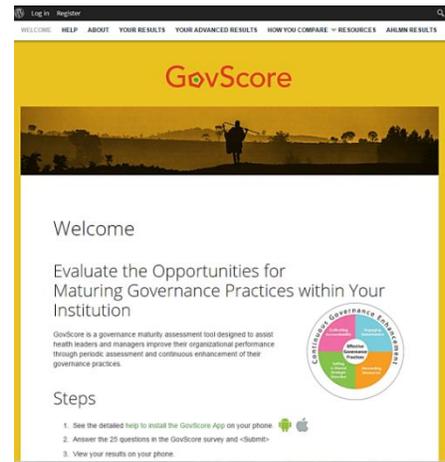


Figure Four: GovScore Web site home

GovScore Assessment Framework and Scoring

GovScore is a diagnostic as well as capacity development planning tool that can be used to:

- obtain an organization’s governance score and an assessment of the level of its governance maturity
- benchmark the governance score of an organization against other peer organizations
- compare governance scores of an organization across years
- identify the key constraints that inhibit successful governance
- determine the target governance maturity level for the next governance enhancement planning cycle and begin the journey of continuous governance enhancement
- help in assessing the relationship between the organizational governance score and strategic performance of the organization over time

LMG’s governance maturity model guides an organization to the goal of enhancing its governance practices and helps it achieve improved organizational performance through a better understanding of current governance levels and methods of improvement. The attainment of Level Four (i.e., Transformational Governance), however, may not be possible for every organization. Organizations that invest early in establishing clear governance goals, essential governance infrastructure, and good governance practices, that develop and implement governance enhancement plans, and that have governance champions will progress faster than organizations that let these evolve more slowly.

Who Should Take the GovScore Assessment?

Leaders of health organizations who serve in a governing role, along with senior managers and key stakeholders, should take the GovScore Assessment. It is recommended that major stakeholders,

including the governing body chair, chief executive, governing body members, senior management team, senior staff members, and key external stakeholders use GovScore to assess the governance level of the organization. It is important that those who use the tool be very familiar with the organization’s performance and how it is governed. People involved in governance decision making themselves or those who closely observe the organization’s governance processes will best be able to answer the GovScore questions. Others may not have enough information to correctly answer the assessment questions. The GovScore report provides a single organizational governance score, which is the average of scores given by many individuals from a single organization who take the assessment. Periodically measuring the organizational governance maturity will help an organization assess the impact of improved governance on its organizational performance (assessed independently of GovScore), and encourage its steady progress to higher governance effectiveness and greater organizational impact.

GovScore Basic Assessment

The first component of the GovScore tool is the basic assessment available on the Mobile App (see Appendix A for questions in the GovScore Assessment instrument). The basic assessment consists of 25 questions that assess the five practices of good governance. After the user completes the assessment, the GovScore Mobile App analyzes the answers and produces a unique organizational governance score. This score determines the specific stage or level of governance maturity of the organization at that point in time. The results are presented directly on the user’s mobile phone, where they can then invite other organization members to download the app and take the GovScore survey. The user can also visit the GovScore website, govscoreapp.net, and examine the combined result of all evaluations from their peers within the organization, including an individual analysis of their organization and recommendations for next steps towards improvement.

Advanced GovScore Assessment

While the basic GovScore Assessment is a high-level governance assessment instrument assessing maturity across five general governance practice areas, the Advanced GovScore Assessment goes much deeper into assessing maturity levels across the 25 individual domains within the practices of good governance (see Appendix B for questions in the Advanced GovScore Assessment instrument). The Advanced GovScore Assessment report includes a brief analysis of key themes and findings based on responses.

GovScore Assessment Report

The GovScore report provides a baseline for determining the governance maturity of an organization. Table Two and Figure Five show an illustration of how an organization can see its governance improvements across years.

| Sample of Organizational Governance Scores | | | | | | |
|--|--------|---------|---------|---------|---------|---------|
| Practice of Good Governance | Score | 2015 | 2016 | 2017 | 2018 | 2019 |
| Cultivating accountability | 24 | 5 | 11 | 17 | 21 | 23 |
| Engaging stakeholders | 12 | 3 | 7 | 10 | 12 | 12 |
| Setting a shared strategic direction | 16 | 4 | 8 | 11 | 12 | 15 |
| Stewarding resources | 24 | 6 | 8 | 13 | 16 | 21 |
| Continuous governance enhancement | 24 | 5 | 9 | 14 | 16 | 22 |
| Total Score: | 100 | 23 | 43 | 65 | 77 | 93 |
| Stages of governance maturity | Level: | Level 1 | Level 2 | Level 3 | Level 4 | Level 4 |

Table Two: Sample organizational governance maturity results over five years as measured by the GovScore Assessment Mobile App. It illustrates the concept of a governing body making steady progress in its governance maturity

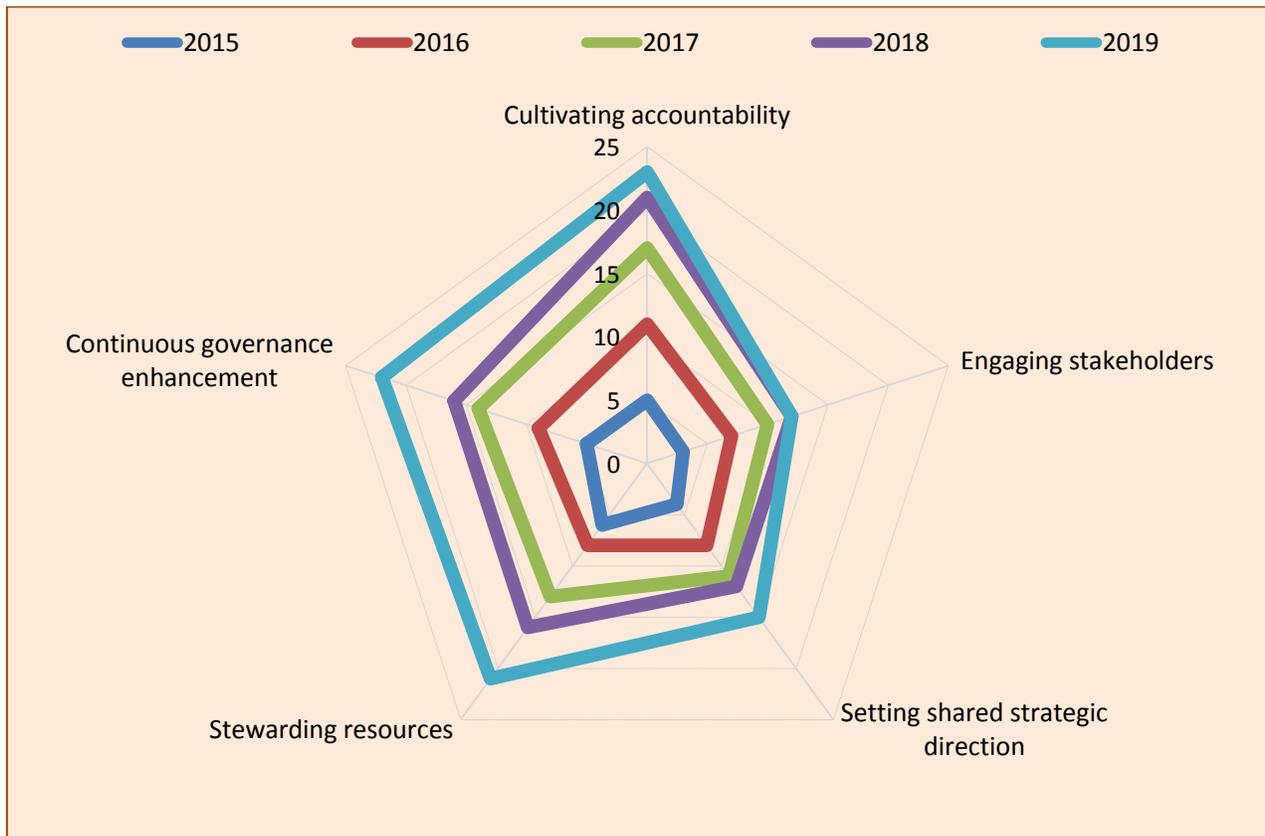


Figure Five: Sample spider diagram from GovScore Report, which shows an organization’s governance maturity results charted over five years

Small wins every year, when seen quantitatively in numbers and graphically in charts, will boost the motivation of the governing body to make further governance improvements. The GovScore report also provides insights into areas of weakness and opportunities for improvement. The report can be used to benchmark an organization against peer organizations or an organization’s governance practices with the state of governance practice.

How to Use the GovScore Assessment Report

The customized GovScore Assessment report, based on the average of all assessments received from an organization, should be presented to the full governing body. The report includes the overall governance score, specific areas where an organization has greatest opportunity for improvement, and practical guidance on applying the practices of good governance within each of the five governance practice areas. The governing body should discuss the results with other key stakeholders. After reviewing the GovScore report, governing body members should complete the Advanced GovScore Assessment for the targeted focus areas identified to be weak in the basic GovScore Assessment.

Suggested Sequence of Actions

After members of an organization take the basic GovScore Assessment, LMG provides a few recommendations for next steps for each identified level of governance maturity. In general, the governing body should:

1. Hold a special governing body meeting or retreat to review the GovScore Assessment results and discuss their implications for all aspects of governing body activities and performance.
2. Conduct the Advanced GovScore Assessment on identified priority areas for detail domain level guidance and recommendations.
3. Appoint a committee or task force to develop specific recommendations for improvement, prioritize the most important areas of governance to focus on, and determine the resources required for success.
4. Implement the recommendations, assign responsibilities and determine outcomes, and document and regularly report on the progress of the approved governance improvement initiatives.
5. Reassess governance maturity within 12 months using the Basic and Advanced GovScore Assessments.

Organizations should understand their current governance maturity levels and use this as a foundation for governance enhancement planning. An understanding of the current level of governance maturity enables organizations to recognize constraints to what can be achieved, and to set expectations accordingly. Achieving higher levels of maturity is not an end in itself; rather, higher governance maturity should lead to improvements in the organization or health system’s performance and ability to improve health services.

Governance Enhancement Plan

The basic GovScore Assessment and Advanced GovScore Assessment help the governance and management leaders develop and implement a Governance Enhancement Plan (GEP). Here are the three steps to creating the Governance Enhancement Plan

- **Prepare Governance Enhancement Plan.** Governance enhancement planning identifies the gaps between the current and the desired future governance levels, and the transformation steps that are required to fill these gaps. A GEP must define the improvement activities that will be undertaken to reach the plan’s objectives. The Advanced GovScore Assessment Report and Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis of organization’s governance can be helpful tools in governance enhancement planning. See Table Three for illustrative steps in planning governance improvements based on the level of governance maturity of the organization.
- **Implement the Governance Enhancement Plan.** It is a good idea to have an adviser, guide, or coach while implementing the GEP to help in making decisions that aim for a higher maturity level. The GEP will be a reminder of the larger goal of achieving greater governance maturity and higher organizational performance.
- **Continuous governance enhancement.** Over time, continuous governance education and enhancement should become a routine within the organization. LMG recommends that a review of the organization’s progress in governance maturity should be done by applying the Advanced GovScore Assessment on an annual basis.

| Illustrative Steps for Planning Governance Improvements | |
|---|--|
| Level | Steps |
| Level 1: | <ol style="list-style-type: none"> 1. Review GovScore results at the next meeting of the governing body 2. Complete Advanced GovScore Assessment 3. Invite in adviser to review principles, practices, and value of good governance 4. Based on Guidance in report, develop and implement a 6-12 month Governance Enhancement Plan 5. Conduct repeat Advanced GovScore Assessment after 12 months |

| | |
|-----------------|--|
| Level 2: | <ol style="list-style-type: none"> 1. Conduct discussion at the next governing body meeting to review results of GovScore Assessment, value of good governance, and activities that have to be started to master good governance practices 2. Complete Advanced GovScore Assessment 3. Based on Guidance in report, develop and implement a 12 month Governance Enhancement Plan 4. Review governance policies for possible refinements 5. Commit to an annual educational program for the governing body 6. Conduct repeat Advanced GovScore Assessment after 12 months |
| Level 3: | <ol style="list-style-type: none"> 1. Express appreciation for support in the journey of good governance to management leadership of the organization and the governing body 2. Complete Advanced GovScore Assessment 3. Based on Guidance in report, develop and implement a 12 month Governance Enhancement Plan 4. Review results of Advanced GovScore Assessment with selected stakeholders for their ideas about how to go from good to great 5. Conduct repeat Advanced GovScore Assessment after 12 months |
| Level 4: | <ol style="list-style-type: none"> 1. Same as Level 3 2. Celebrate progress with the media and stakeholders 3. Plan to implement the assessment every year to ensure that the governing body continues to live up to this high level of governance maturity |

Table Three: Illustrative steps for planning governance improvements at each level of governance maturity

Pilot Testing and Initial Findings

LMG conducted a pilot test with selected members of the AHLMN (African Health Leadership and Management Network), a network of health and business educational institutions with member institutions located across Africa, to assess the time investment required by the institutions to perform a structured assessment of their governance maturity. AHLMN was chosen as the pilot organization because the LMG Project supports AHLMN and its member institutions in a governance capacity mapping activity. In addition to assessing the time investment, four AHLMN members were also asked to assess the utility of the automated reporting and customized guidance function supported by the GovScore Automated Reporting site (govscoreapp.net).

Participant Feedback from Pilot with AHLMN Member Organizations

Pilot testing began in March, 2015 when the AHLMN Steering Committee members completed the GovScore Assessment for their respective organizations. In total, five individuals from four organizations took the GovScore assessment. Some initial points of feedback include:

- There is an opportunity to increase the impact of the tool by expanding participation beyond governing body colleagues to a broader set of colleagues from within their institution (including completing the GovScore Assessment as an internal group exercise).
- Completing the GovScore Assessment as a board activity in a group setting could accrue greater benefits. It would be easier to correlate answers and gain a common understanding of the questions, which would allow the team to debate their response and take collaborative corrective action pursuant to it. Using the GovScore App could be a way to provide governance education for the board.

- It would be beneficial to have top-level institutional leaders complete the GovScore Assessment, since they are in a position to formulate strategies to overcome the organizational governance and performance constraints.
- Beyond the assessment and review of the GovScore report, a separate board discussion could create an action plan aligned with the organization's strategic roadmap based on the inputs from the GovScore custom report and GovScore analysis.

AHLMN participants thought that the tool would be beneficial as it could help improve their governance and organizational performance.

Self-Directed and Peer-to-Peer Knowledge Sharing

One benefit of the GovScore approach in the AHLMN context was that the assessment of an institution's governance practices could be self-directed through the Mobile App. A participant organization would not necessarily need an external consultant to drive the assessment process, as is often the case with other assessments. Furthermore, the GovScore approach could support AHLMN's south-to-south knowledge exchange goals, offering the opportunity to share governance best practices between members of the AHLMN community of practice. GovScore could also provide a way to engage governance experts in discussion forums and accelerate the path from completion of the GovScore Assessment to incorporation of the guidance into strategic initiatives.

Positive Educational Effect

AHLMN participants taking the GovScore Assessment noted that answering the questions was intrinsically educational. Assessment takers are exposed to the organizational governance topics through the questions in the GovScore Assessment. They are presented with the information in a way that is not intrusive or prescriptive and are given the opportunity to make the conceptual leap from the question to an action plan (i.e., *from* what is good governance *to* we are at this level, I would like to be there, how do we get there?).

Conclusion

GovScore Data and Data-Driven Governance Improvement

Using a tool-driven approach to assess the key governance capabilities or governance practices should provide a perspective on how well organizations are currently meeting their governance goals. The organization's leaders will in turn be able to appreciate the contribution of their application of good governance practices to the organization's performance and its ability to meet future goals.

The first step in moving from guidance to action is figuring out what an organization is trying to accomplish, and then thinking about how to mature the capabilities and processes in the major governance areas, to enable the organization to achieve its business objectives. The GovScore Assessment is a part of the better governance puzzle, and may be the easiest part to complete. The more challenging aspect of governance improvement is formulating and applying the governance improvement strategy. Governance improvement is the key step toward creating a higher performing organization and GovScore helps organizations take this first step with the introduction of new strategies and practices to improve governance maturity.

Limitations of Self Assessments

A disadvantage of doing a self-assessment as a method of obtaining data is that there is a greater chance of measurement error or bias, which could be unintentional or intentional. 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. Respondents might intentionally alter their true responses because of social desirability, boastfulness, or modesty.

Measurement bias can be mitigated by taking steps such as supplementing the self-assessments with objective measures where possible, and involving external stakeholders in the measurement process. A participant organization may also periodically measure its organizational performance in terms of attainment of its strategic goals, along with measuring governance maturity levels. This will help a participant assess the impact of their organization's governance on its performance.

Feedback from Africa Health Leadership and Management Network (AHLMN) members who used the tool emphasized that language use is contextual, and so the wording of the assessment questions needs to be reviewed and adapted to the business and cultural context of the target participants to ensure that responses are the most accurate.

Evidence That Governance Is Working Well

When governance leaders working with senior management and key stakeholders govern well, it reflects in the measures of the organization's overall performance, for instance service delivery and financial sustainability indicators. Another indicator of improvement is that the organization begins to make steady progress to attain its strategic long-term priorities and direction.

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 is also reflected in better staff morale; sound financial, medicines, human resources, and information management systems (i.e., the right people are in the right positions doing the right work, at the right time, with the right competencies, supplies, commodities and equipment, for the right people, at the right quality, and at reasonable costs); less staff turnover; better service availability, utilization, and quality; higher patient or health service user satisfaction; and more accurate and timely collection, reporting, and use of health data.

The GovScore Assessment allows organizations to determine their current level of governance maturity and identify key areas for improvement. Starting with the basic GovScore Assessment, organizations are able to get a high-level insight on specific governance practices and better understand key governance indicators. The Advanced GovScore Assessment furthers this understanding to expand organization member's understanding of their internal capacities at a more intimate level. Using both assessments, the GovScore report visualizes results for easy assessment and identification of weaknesses. Used correctly, GovScore can take organizations from discussing better governance to creating detailed action plans to attain higher governance maturity.

Appendix A: GovScore Assessment- Basic Instrument

| To what extent do you agree with each of the following statements relating to the governance culture of your organization? | | | | | | |
|--|---|-----------------|----------------|----------------|-------------|-----------------|
| | | Not at all 0 | Minimally 1 | Partially 2 | Mostly 3 | Completely 4 |
| 1 | Our governing body communicates effectively with the Managing Director / Chief Executive. | | | | | |
| 2 | Governing body members strive to represent the healthcare needs of the organization's target population groups. | | | | | |
| 3 | Governing body members make attendance at governing body meetings a high priority and attend most meetings fully prepared to discuss and decide the items on the agenda. | | | | | |
| 4 | New governing body members participate in a governance orientation program. | | | | | |
| 5 | The governing body examines how the organization's strategic plan addresses community health status / needs before approving the plan. | | | | | |
| 6 | Governing body members take steps to build trust with key internal and external stakeholders. | | | | | |
| 7 | The governing body encourages an organizational culture that earns high health worker and staff morale. | | | | | |
| How well does the Governance Body fulfill its responsibilities in your organization? | | | | | | |
| | | Not at all 0 | Minimally 1 | Partially 2 | Mostly 3 | Completely 4 |
| 8 | The governing body monitors the organization's financial performance compared to financial goals set by the governing body. | | | | | |
| 9 | The governing body is actively involved in establishing the organization's strategic direction (e.g., creating a longer-range vision, setting priorities, and developing the strategic plan). | | | | | |
| 10 | The governing body makes good use of time available during governing body meetings to perform its duties. | | | | | |
| 11 | The governing body regularly reviews the organization's quality and patient safety scores / results. | | | | | |
| 12 | Governing body communicates effectively with key external stakeholders. | | | | | |
| 13 | Governing body members regularly participate in continuing governance | | | | | |

| | | | | | | |
|---|---|-------------------------|------------------------|------------------------|---------------------|-------------------------|
| | education and governance development activities. | | | | | |
| 14 | Governing body members actively support the organization's resource mobilization or fundraising activities. | | | | | |
| To what extent do you agree with each of the following statements relating to governance practices in your organization? | | | | | | |
| | | Not at all 0 | Minimally 1 | Partially 2 | Mostly 3 | Completely 4 |
| 15 | The governing body has a clear understanding of its purpose and role. | | | | | |
| 16 | Members of the governing body have a clear understanding of their precise governance responsibilities. | | | | | |
| 17 | Governing body members recognize the differences between the governing body's role and management's role, and do not micro-manage or usurp management's role. | | | | | |
| 18 | The expectation that governing body members advocate on behalf of the organization is clearly established during governing body member orientation, and as a result the members are willing and able to advocate on behalf of the organization and enhance its reputational capital. | | | | | |
| 19 | 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, and governing body members have been selected based on this policy. | | | | | |
| 20 | Governing body members are required to complete a conflict-of-interest / confidentiality disclosure statement annually, and they adhere to it fully and consistently. | | | | | |
| 21 | 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 / direction, and all plans in the organization are fully and consistently aligned with the organization's overall strategic plan. | | | | | |
| 22 | The governing body requires management to keep the governing body informed on potential or current legal issues important to the organization, and the management fully and consistently fulfills this requirement. | | | | | |

| | | | | | | |
|----|--|--|--|--|--|--|
| 23 | 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, such assessment is carried out at least every two years, and the governing body acts on any issues arising out of the assessment. | | | | | |
| 24 | Governing body self-assessment is treated as a top priority by the governing body, it conducts formal self-assessment at least once a year, and the results are used for governance enhancement or development. | | | | | |
| 25 | The governing body has a written policy or procedure describing ethical practices for financial and service quality reporting, and it is fully and consistently practiced in the organization. | | | | | |

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

Appendix B: GovScore Assessment- Advanced Instrument

| # | Gov. Domain | | Column A | Column B | Column C | Column D | Total |
|---|---|--|--|---|--|--|-----------------|
| Practice: Cultivating Accountability | | | | | | | Out of 4 |
| 1 | Culture of personal accountability | There is 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 opportunity to the 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 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 | There are consequences for non-performance or under-performance, and there is recognition and reward for excellent performance. | |
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| | | | | | external stakeholders. | | |
| | | No = 0, Yes = 1 | | | | | |
| 4 | Measuring performance | There is 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. | Accent is on celebrating excellent performance rather than apportioning the blame. | Performance information is used to refine programs and policies. | |
| | | No = 0, Yes = 1 | | | | | |
| 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 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 | The governance leaders and senior managers coordinate with stakeholders, community members, and health workers | The governance leaders and senior managers work with the people and the health workers to formulate solutions, and | |

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| | | | | feedback to them. | to make sure that their concerns are directly reflected in the governance decisions. | frequently put decision-making in the hands of the people. | |
| | | No = 0, Yes = 1 | | | | | |
| 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 11 | Collaborating with other sectors | The organization has a culture of inter-sectoral collaboration. | The governance and management leaders of the organization go out of their way to make new connections and invest energy and time | 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 | |
| | | No = 0, Yes = 1 | | | | | |

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| | | | in building relationships with the leaders in other sectors that impact health. | | | sectors to attain health objectives. | |
| | | No = 0, Yes = 1 | | | | | |
| 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 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 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 14 | Establishing 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 | Progress is reported to the key stakeholders of the organization on a regular basis, and they are able to monitor the | |

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| | | | | | organization's vision. | implementation of its strategic plan. | |
| | | No = 0, Yes = 1 | | | | | |
| 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 toward purposeful, interconnected actions. | |
| | | No = 0, Yes = 1 | | | | | |
| Practice: Stewarding Resources | | | | | | | |
| 16 | Mobilizing resources | 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 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 17 | Wisely using resources | The resources of the organization are efficiently used. | Every dollar spent in the organization advances the | The governance leaders make their expectations in | The governance leaders ensure that the organization | The governance leaders have created opportunities | |

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| | | | mission of the organization. The governance leaders monitor and evaluate financial performance on a regular basis using actual financial and performance data and dashboards. | terms of financial results and service quality clear to the senior management ahead of the time period, and closely monitor achievement of these results. | 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. | 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 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. | |

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| | | No = 0, Yes = 1 | | | | | |
| 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 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 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. | |
| | | No = 0, Yes = 1 | | | | | |
| 24 | Organizing governance orientation and continuous governance education | There is governance orientation and continuous governance education in the | There is a formal orientation program and ongoing education | The ongoing education program of the governing body or the leaders who govern is | 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 | |

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| | | organization. | program for the governing body or the leaders who govern. The governing body has a written policy and budget for its education & development. | tied to the organization's strategic challenges. | | skill gaps in the governing body as seen in regular governance self-assessments. | |
| | | No = 0, Yes = 1 | | | | | |
| 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 their weak areas noticed in the assessment. | The governing body or the leaders who govern use their governance education in improving the organization's performance. | |
| | | No = 0, Yes = 1 | | | | | |

Appendix C: LMG Governance Reference Materials

The practices of good governance are described at length in the LMG Project's governance learning resources.

- **Governance guides**
 - Cultivating accountability for health systems strengthening ([English](#) | [French](#))
 - Engaging stakeholders for health systems strengthening ([English](#) | [French](#))
 - Setting shared strategic direction for health systems strengthening ([English](#) | [French](#))
 - Stewarding resources for health systems strengthening ([English](#) | [French](#))
 - Continuous governance enhancement for health systems strengthening ([English](#) | [French](#))
- **The eManager:**
 - **How to Govern Health Sector and its Institutions Effectively** ([English](#) | [French](#) | [Portuguese](#))
 - **Good Governance in Civil Society Organizations** ([English](#) | [Spanish](#))
- **Governance training facilitation handbooks**
 - For the Ministry of Health Governance Leaders and Staff ([English](#) | [French](#))
 - For Provincial Health Office Governance Leaders and Staff ([English](#) | [French](#))
 - For District Health Office Governance Leaders and Staff ([English](#) | [French](#))
 - For Hospital Governance Leaders and Staff ([English](#) | [French](#))
 - For Health Center Governance Leaders and Staff ([English](#) | [French](#))
- **MSH Publications**
 - Chapter 3 of MSH eHandbook: **Governance of Health Systems and Health Organizations** ([English](#) | [French](#))
- **Peer-reviewed journal article**
 - [Implementing people-centered health systems governance in 3 provinces and 11 districts of Afghanistan: a case study](#)
- **Governance Apps**
 - **Govern4Health** app (Available at [App Store](#) and [Google Play Store](#) for free download on iPhone or Android phone)
 - [GovScore](#), an app to measure the governance maturity of an organization

ⁱ Azfar, Omar, Satu Kahkonen, and Patrick Meagher. *Conditions for effective decentralized governance: A synthesis of research findings*. IRIS Center, University of Maryland, 2001, 67–73.

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