

**Leadership and Partnership Responsibilities of the Board and CEO/ED**  
Branch Forum Workshop Discussion – Flip Chart Notes - September 30, 2006

	<b>RESPONSIBILITIES</b>	<b>BOARD ROLE AND ACTIVITIES</b>	<b>ED/CEO ROLE AND ACTIVITIES</b>
1	Participating in Ongoing Development of Community Health and Related Services	<ul style="list-style-type: none"> <li>▪ community feedback</li> <li>▪ board is voice of community – ownership</li> <li>▪ bring a level of credibility to issues as volunteers</li> <li>▪ stay in tune with needs and gaps</li> <li>▪ strategic not operational</li> <li>▪ broadcast media</li> <li>▪ establish aware group designates</li> <li>▪ survey (consultant)</li> <li>▪ a steering committee of the board</li> <li>▪ participate in LHIN &amp; other high level activities</li> </ul>	<ul style="list-style-type: none"> <li>▪ strategic development</li> <li>▪ operational planning &amp; implementation</li> <li>▪ involved in liaison &amp; community networks</li> <li>▪ develop memorandums of understanding</li> <li>▪ advocacy &amp; community development</li> <li>▪ identify and assess gaps – system and service</li> <li>▪ joint management activities with other agencies</li> </ul>
2	Setting the Vision, Mission, Values & Strategic Directions	<ul style="list-style-type: none"> <li>▪ board has ultimate accountability &amp; ownership of process</li> <li>▪ use of retreat involving board, CEO/ED &amp; staff</li> <li>▪ use facilitator</li> <li>▪ include representatives from community, member from Ont Division Board</li> </ul>	<ul style="list-style-type: none"> <li>▪ CEO/ED in partnership with board</li> <li>▪ informs and facilitate process</li> <li>▪ collaborate with Board to devise indicators re achievement of strategies</li> </ul>
3	Strategic & Operational Planning for the Organization	<ul style="list-style-type: none"> <li>▪ sets strategic direction</li> <li>▪ long-term view</li> <li>▪ should be reviewed annually or bi-annually</li> </ul>	<ul style="list-style-type: none"> <li>▪ responsible for operating/implementing</li> <li>▪ implements best practice</li> <li>▪ implements strategic objectives: reviews regularly (monthly)</li> <li>▪ need for clarity between operational planning vs. operationalizing strategic plan</li> </ul>

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4	Evaluating Organizational Effectiveness	<ul style="list-style-type: none"> <li>▪ “buck stops” with the board</li> <li>▪ board has process in place to ensure organization is effective according to mission, values, strategic plan</li> </ul>	<ul style="list-style-type: none"> <li>▪ CEO/ED provides timely and meaningful reporting to the board</li> <li>▪ lead for evaluation and quality control</li> <li>▪ utilizes external audit/review process eg. surveys, board retreats, metrics, Ont Division tool, accreditation....3<sup>rd</sup> party especially if organization large</li> </ul>
5	Developing Board Policies	<ul style="list-style-type: none"> <li>▪ board reviews, develops and approves</li> <li>▪ board requires mechanisms for review</li> <li>▪ depends on board governance model</li> <li>▪ board may require training on policy development</li> <li>▪ initiate action in response to needs</li> </ul>	<ul style="list-style-type: none"> <li>▪ share information – provide advice and support</li> <li>▪ provide policies from other sources</li> <li>▪ offer environment scan of MOHLTC &amp; other funders</li> </ul>

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6	Evaluating the Performance of the ED/CEO	<ul style="list-style-type: none"> <li>▪ absolute fiduciary duty</li> <li>▪ board President leads evaluation with members of board executive</li> <li>▪ board &amp; ED together develop evaluation tool based on standards and performance               <ul style="list-style-type: none"> <li>- sets out in job description clear roles &amp; responsibilities of board vs CEO/ED</li> </ul> </li> <li>▪ CEO/ED evaluated in 2 key areas:               <ul style="list-style-type: none"> <li>- board relations &amp; support</li> <li>- achieving strategic directions/ operations</li> </ul> </li> <li>▪ evaluate based on sector standards</li> <li>▪ weight objectives for evaluation based on importance</li> <li>▪ check validity of measures</li> <li>▪ include partners in community and stakeholders in evaluation</li> <li>▪ should CEO/ED have a contract?</li> <li>▪ not necessarily annual evaluation</li> </ul>	<ul style="list-style-type: none"> <li>▪ board &amp; ED together develop evaluation tool based on standards and performance</li> </ul>
7	Succession Planning for the Board	<ul style="list-style-type: none"> <li>▪ responsibility of the board</li> <li>▪ best practice is skill-based board: need strategic perspective to lead in a governance role</li> <li>▪ how to deal with issues of geography, skills, special groups, consumers, family, language, First Nations</li> <li>▪ recruiting and succession planning depends on governance model</li> <li>▪ highly competitive environment – how we deal with conflict of interest</li> <li>▪ MOHLTC says no user of service on board</li> <li>▪ how to deal with consumer on board who is not well</li> </ul>	

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8	Financial Oversight	<ul style="list-style-type: none"> <li>▪ board approves budget</li> <li>▪ auditor provides letter to board</li> <li>▪ ensure org'n remains financially viable</li> <li>▪ regular financial reports, reviews, forecast</li> <li>▪ Finance Committee (need not be all Board)</li> <li>▪ budget review and approval</li> <li>▪ ensure financial policies in place</li> <li>▪ appoint auditors and audit statements</li> <li>▪ finance person on Board</li> </ul>	<ul style="list-style-type: none"> <li>▪ implements budget</li> <li>▪ internal controls/reporting procedures consistent with financial policies</li> <li>▪ ensure preparation of reports, variance explanation</li> <li>▪ treasurer reports to board 3x year</li> <li>▪ cash management</li> </ul>
9	Service Oversight	<ul style="list-style-type: none"> <li>▪ board policies to ensure ED accountability</li> <li>▪ ensure services being provided meet best practices / standards</li> <li>▪ are we delivering what we promised to provide?</li> <li>▪ approval of MOHLTC operating plan</li> </ul>	<ul style="list-style-type: none"> <li>▪ "of note" periodic report to board</li> <li>▪ provides advice to Board</li> <li>▪ develop annual operating plan</li> <li>▪ develop and implement monitoring and evaluation plan</li> <li>▪ scheduled staff program awareness to Board (clarify) (oversight?)</li> <li>▪ day-to-day operation</li> <li>▪ establishes goals</li> <li>▪ staff activity charts</li> <li>▪ performance indicators – accreditation?</li> <li>▪ community advisory committees where applicable</li> </ul>
10	Directing Staff	<ul style="list-style-type: none"> <li>▪ directs ED only</li> <li>▪ ensures there is a human resources policy</li> <li>▪ should be no surprises</li> <li>▪ Grievance Procedure – path to follow working conditions</li> <li>▪ complaints resolution / conflict resolution</li> </ul>	<ul style="list-style-type: none"> <li>▪ provides leadership &amp; vision, a learning culture, resources</li> <li>▪ financial officer has direct input to board</li> <li>▪ exit survey</li> </ul>

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11	Evaluating Board Performance	<ul style="list-style-type: none"> <li>▪ Board's own responsibility</li> <li>▪ annual self-evaluation – discuss and improve</li> <li>▪ possible meeting assessment</li> <li>▪ what about Board member evaluation?</li> </ul>	<ul style="list-style-type: none"> <li>▪ ED can provide access to tool choices, best practice – to use validated tool</li> <li>▪ connects to succession planning</li> <li>▪ effort should be meaningful – analysis of what said and action plan and the action plan should be matched to the work plan</li> </ul>
12	Developing HR Policies	<ul style="list-style-type: none"> <li>▪ Board reviews / approves HR policies</li> <li>▪ sets standard for reporting</li> </ul>	<ul style="list-style-type: none"> <li>▪ writes and develops policies</li> <li>▪ networks with other agencies</li> <li>▪ educates staff</li> <li>▪ has a process for dealing with breaches</li> <li>▪ informs the Board of staff actions</li> <li>▪ deals with Labour- Management Com'tee</li> </ul>
13	Succession Planning for the ED/CEO	<ul style="list-style-type: none"> <li>▪ establishes replacement criteria for ED</li> <li>▪ ensures succession policy is in place</li> <li>▪ establishes on a continuing basis best practices for replacement</li> <li>▪ defines skill set of ED based on size and function of agency</li> <li>▪ ensures at least one senior manager can assume role of ED</li> <li>▪ Board needs training and information on what succession planning is for key roles</li> </ul>	<ul style="list-style-type: none"> <li>▪ interim and long-term plan – new opportunity</li> <li>▪ organizational information must be held by a number of people</li> <li>▪ what do small organizations do?</li> <li>▪ senior manager should attend Board meetings at times</li> <li>▪ coaches senior managers</li> <li>▪ develops organization's staff</li> <li>▪ establishes contractual understanding</li> <li>▪ increases awareness of successors</li> <li>▪ finds out who has a good plan</li> <li>▪ needs to inform Board of their plans to leave/retire, etc up to 1 year depending on organization</li> <li>▪ there will be many CMHA EDs retiring at the same time</li> </ul>

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14	Advocacy	<ul style="list-style-type: none"> <li>▪ defines advocacy</li> <li>▪ who speaks for whom?</li> <li>▪ general vs. specific</li> <li>▪ Board has role with LHIN</li> <li>▪ Board as a whole directives advocacy objectives</li> <li>▪ Board are ambassadors to community</li> </ul>	<ul style="list-style-type: none"> <li>▪ equal role for Board and ED</li> </ul>
15	Relationship with Funders	<ul style="list-style-type: none"> <li>▪ ED should act on behalf of the Board, most agreements signed off by Board</li> <li>▪ so Board is on the hook</li> <li>▪ Fundraising role for board</li> <li>▪ Board should have a relationship with the LHIN board</li> </ul>	<ul style="list-style-type: none"> <li>▪ has to take the lead with other funders</li> <li>▪ in certain cases Board and ED would approach funder together</li> <li>▪ depends on the funding source and strategic issues</li> </ul>
16	Organizational Spokesperson	<ul style="list-style-type: none"> <li>▪ President is spokesperson of the Board</li> <li>▪ once Board decisions made, all members are on side</li> <li>▪ both ED and Board President 1<sup>st</sup> level of spokespersons</li> <li>▪ ensure same message being given</li> </ul>	<ul style="list-style-type: none"> <li>▪ prepares media plan</li> <li>▪ one voice, same ey messages</li> <li>▪ provides training to board</li> <li>▪ designated spokesperson(s)</li> <li>▪ ED is designated talking head if no plan</li> </ul>

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## Summary Comments from Workshop Session

- LHINs are the new kids on the block
- bigger budgets mean more accountability for the organization
- branches need staff in functions other than front-line service
- branches want to share policies and procedures
- it's time to review previous work on standards
- there needs to be some "tightening up"
- branches are ready for Ontario Division to set "minimum standards"
- splitting the workshop into separate sessions for CEO/EDs and board Presidents was useful
  - the two groups didn't always agree but both perspectives were helpful
  - there are a lot of common ideas
- this is only the beginning of discussions – more discussion needs to take place within the branch

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