

**Executive Limitations Monitoring Report
EL-9 Leadership, Capacity & Continuity
Lake of the Woods District Hospital**

November 2, 2017

Board policy is indicated in bold typeface throughout.

I hereby present my monitoring report on your Executive Limitations Policy EL- 9 **“Leadership Capacity & Continuity”** according to the schedule set out. I certify that the information contained in this report is true, and represents reasonable achievement of the policy unless specifically stated otherwise.

Signed , CEO Date: October 27, 2017

The CEO shall not endanger the continuity of organizational leadership or ignore the building and continuous improvement of organizational capability sufficient to provide proactive leadership for achievement of Ends in future years.

CEO Interpretation:

I interpret “endanger” to mean to “jeopardize’ or bring into peril organizational capacity through failure to hire and maintain staff that have the leadership capability to meet the Board’s ends and advance professionally in the organization.

Further, without limiting the scope of the above statement by the following list, the CEO shall not:

- 1. Permit the hospital to be without sufficient organizational capability for the competent operation of the hospital to continue in the event of sudden loss of CEO services.**

CEO Interpretation:

I interpret “sufficient organizational capacity” to mean that there are sufficient numbers of senior managers that have the requisite training, knowledge, skills, time, information, and authority to lead and manage the organization in my absence.

I further interpret “competent operation” to mean that the organization can continue to meet its mission and obligations to provide health services to our community and patients and fulfill our statutory and regulatory requirements as set out in the various Provincial and Federal legislation that apply to our organization.

I further interpret “to continue” to mean that to carry on all regular organizational operations, in a timely manner.

I further interpret “CEO services” to mean those duties and responsibilities contained in the President and Chief Executive Officer’s most recent, Board approved job description.

Compliance will be achieved when:

- 1) There is a written policy to deal with temporary leadership succession in the event of the sudden loss of President and CEO services and this policy has been shared with senior management and the Board.
- 2) There is at least one senior manager who has been oriented and received appropriate training to temporarily replace the President and CEO.
- 3) That back-up senior manager(s) has gained hands-on experience (through acting status during vacation and/or sick leave) in the President and CEO position they have been trained to replace. This back-up senior manager(s) may also be considered as permanent replacement if they merit the position.
- 4) The back-up senior manager has been regularly provided by the President and CEO with significant or important information for the continuing operation of the organization in a timely manner.

Evidence: Compliant

- 1) In the event of sudden or unexpected events that render the CEO unavailable there is a policy and process for the immediate transition to an Acting or Interim CEO to lead the organization. That person is the V.P. Patient Services.
- 2) Three senior managers, the VP Patient Services, the VP Corporate Services, and the VP of Mental Health and Addiction Programs have been oriented and received appropriate training to temporarily replace the President and CEO.
- 3) Three senior managers, the VP Patient Services, the VP Corporate Services, and the VP of Mental Health & Addiction Programs have gained hands-on experience (through acting status during vacation and / or sick leave) in the President and CEO position.
- 4) Significant or important information for the operation of the organization is regularly shared in a timely manner to appropriate senior managers in writing. The senior management team meets regularly to discuss issues and share information. These meetings are recorded in minutes and circulated to Board members and throughout the organization. In addition senior managers regularly receive e-mail and/or photocopies of information passed on by the CEO.

Examples of important organizational issues shared and discussed with senior managers over the past year include but are not limited to:

- Local Health Integration Networks updates
- Board Governance changes
- Ministry of Health correspondence
- Information, Communication and Technology Plans (Electronic Medical Record)
- Strategic Plan for the organization
- Northwest Health Network Plans
- Medical Staff Recruitment
- Local Medical Clinic Initiatives
- Capital Budget
- Governance Policies
- HUB meetings
- Project Charter Schedule One
- CAPS & HAPS budgets

2. Operate without succession planning processes in place to facilitate smooth operations during key personnel transitions and ensure competent operation of the hospital in all areas over the long term.

CEO Interpretation:

I interpret “succession planning processes” to mean that there are staff members that have been identified and trained to provide temporary back-up for each senior manager. These back-up people may also be considered as permanent replacements if they merit the position.

I further interpret “smooth operations” to mean that the organization can continue to meet its mission and obligations to provide health services to our community and patients and fulfill our statutory and regulatory requirements as set out in the various Provincial and Federal legislation that apply to our organization.

I further interpret “key personnel” to mean members of the senior management team which include the President and CEO; the Chief of Staff; the Vice President of Patient Services/CNO; the Vice President of Corporate Services/CFO; and the Vice President of Mental Health & Addiction Programs.

I further interpret “ensure competent operation” to mean that to carry on all regular organizational operations.

Compliance will be achieved when:

- 1) Each key personnel has at least one back-up staff member who has been oriented and received appropriate training for that senior management position.
- 2) Each back-up staff member has gained hands-on experience (through acting status during vacation and / or sick leave) in the senior management position they have been trained to replace.
- 3) The organization has been able to continue to provide on-going competent operation of services without serious complaints during the temporary services provided by the back-ups for the senior managers.

Evidence: Compliant

Evidence of overall achievement of this End is provided by:

- 1) Each senior manager has at least one back-up manager that has been oriented and received appropriate training to temporarily replace the senior manager in the event they are unable to perform their duties. The names of these trained back-ups to the senior managers can be provided upon request.
- 2) Each back-up staff member has gained hands-on experience (through acting status during vacation and / or sick leave) in the senior management position they have been trained to replace. The dates when these back-ups have provided coverage for their respective senior manager can be provided on request.
- 3) The organization has been able to continue to provide on-going competent operation of services without serious complaints during the temporary services provided by the back-ups for the senior managers. There have been no complaints received from patients, their family members, staff members, senior managers, or Board members for any of the back-up managers for the senior managers during the past year.

3. Operate without a written plan for continued professional development of the senior leadership team, including the CEO, designed to enhance the team’s continuous

improvement of the professional competencies outlined in the Certified Health Executive program of the CCHSE.

CEO Interpretation:

I interpret this statement to mean that there is a plan in place to ensure that all senior managers at LWDH (President and CEO, VP Patient Services/CNO, VP Corporate Services/CFO, VP Mental Health & Addictions Programs, and Chief of Staff) will achieve and maintain certification or Fellow status with the CCHL or ACHE professional colleges.

Compliance will be achieved when:

There is a written plan in place to support and enable 100% of senior management to become certified Health Care Executives or Fellows in good standing with the Canadian College of Health Leaders or the American College of Healthcare Executives.

Evidence: Compliant

There is a plan in place to support the VP Patient Care/CNO, in achieving her Certified Health Executive designation. Currently, the VP Corporate Services/CFO and the VP Mental Health & Addiction Programs are members of the CCHL.

Currently the President and CEO is a member in good standing and has achieved Certified Health Care Executive (CHE) status with the Canadian College of Health Leaders and is a Fellow (FACHE) with the American College of Healthcare Executives.

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| LAKE OF THE WOODS DISTRICT HOSPITAL | DEPARTMENT: Administration | Number: A-4.1.12 |
| | CATEGORY: Human Resources | |
| POLICY: | TOPIC: Temporary CEO Coverage | Date: Jan. 2005 |

Temporary CEO Coverage

When the CEO is absent for five or more regular business days he/she will appoint, in writing, one of the senior managers, on a rotating basis, to be acting CEO in his place. Each senior manager will have a fair opportunity to be “Acting” CEO during the CEO’s scheduled vacation or absences. The senior manager who is “Acting” CEO will continue with his/her own regular duties in addition to the duties associated with being “Acting” CEO. There will be no additional compensation paid for assuming these “temporary” responsibilities. The CEO will inform the Board, in advance, as to who will be “Acting” during his planned absence.

Sudden Loss of the CEO Services.

In the event of sudden or unexpected events that render the CEO unavailable or unable to carry out his/her responsibilities (such as death or a serious accident), the V.P. Patient Care Services shall immediately assume the role of “Acting” Chief Executive Officer and Secretary to the Board.

The V.P. Patient Care Services must inform the Board Chair, or in his/her absence the Board Vice-Chair, as soon as possible of the nature of the CEO’s incapacity and that he/she is “Acting” CEO until the Board of Directors has had a chance to meet and determine what course of action they will take.