



# Board Self-evaluation Tools

## Enhancing Board Effectiveness



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# Board Effectiveness

## ► It is in our MISSIONS

*“Enhance the effectiveness and advance the common interests of the Boards of \_\_\_\_\_.”*

*“Enhance the Effectiveness and Success of Member Boards and Agencies”*

*“Provide education, services, and guidance to Member Boards **that help them fulfill their statutory, professional, public, and ethical obligations.**”*

*“dedicated to **the mutual assistance of its members in striving for the better regulation of the** \_\_\_\_\_ **to protect the health, welfare and safety of the general public.**”*

*“To **provide assistance to Member Boards in fulfilling statutory, professional, public and ethical obligations in legal regulation and enforcement**”*

*“providing **vision, leadership and resources in the development and improvement of state, regional and local** \_\_\_\_\_ **systems**”*

*“Strengthen protection of the public **by providing support and services to the** \_\_\_\_\_ **regulatory community to advance safe, competent, and ethical practices**”*

*“Protecting the public by **promoting excellence in** \_\_\_\_\_ **regulation** through services to our member boards.”*

**But what is effectiveness relative to regulatory boards?**

# A Definition of Effectiveness

- ▶ An effective regulatory board is one that protects the public welfare by fulfilling the letter and intent of the jurisdictions statutes and regulations in an efficient manner.

# Dimensions of Board Effectiveness

What does a board need to be good at?

1. Initial Qualification and Licensure
2. Continuing Competency & Compliance
3. Board Operations
4. Enforcement
5. Legislation & Rules
6. Relationships

# Effectiveness & Independence

- ▶ Assumption: an independent board is a more effective board.
- ▶ Reality: while a level of independence can have a positive impact on board effective, it does not guarantee it.
- ▶ The Corollary: being part of a consolidated agency does not *necessarily* hinder board effectiveness.

**We must work with our boards as they are.**

# Nature of Independence

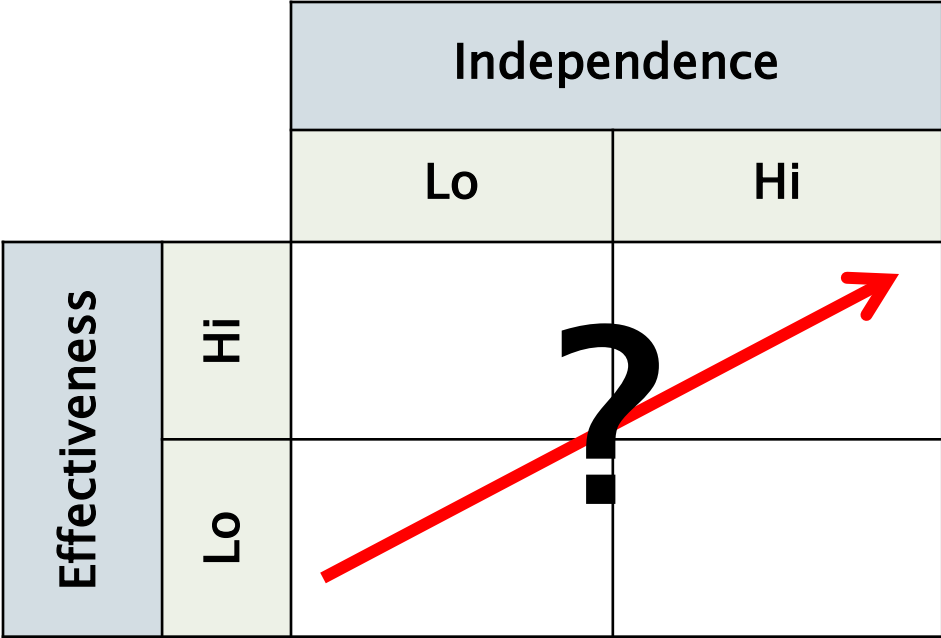
- ▶ It is a continuum, not an either/or



- ▶ Factors defining a boards level of independence:
  - Governance
  - Finances
  - Staffing
  - Composition
  - Rule Making
- ▶ Key factors are:
  - Governance – Reporting relationships
  - Staffing – Qualified, dedicated staff vs Shared Staff
  - Finances – Adequate funding

# Research Needed

		Independence	
		Lo	Hi
Effectiveness	Hi		
	Lo		



# Finding an appropriate Mirror

- ▶ There is no intrinsic standard, only the combined experience of your boards
- ▶ Therein lies the challenge!



# Motivation for self-evaluation



# Board Self-evaluation

- ▶ Requires a willingness to change – openness
- ▶ Requires a working mirror – a standard
- ▶ Requires an external “guide” – people/tools
- ▶ Requires persistence – it is the beginning of the journey

# Best Practices vs. Results

- ▶ “Best Practices” are about what we do and how we do it.
- ▶ “Results” are about the effect that best practices produce.
  - Specific
  - Measureable
  - Valid
  - Reliable

**You Cannot Manage  
What You Do not  
Measure**

# What is out there now?

- ▶ Consultants
  - Strategic Planning
  - Board Retreats
- ▶ Jurisdictional administrative law/regulations
  - Sunset Reviews
  - Constraints
- ▶ YOU
  - National associations provide the only forum that can bring boards together to develop standards and objective ways to assess effectiveness

# Approaches to Assessing Board effectiveness

- ▶ Peer Review
- ▶ Balanced Score Card
- ▶ 360 Evaluation
- ▶ Ongoing Standards-based Self Assessment

# Peer Review

- ▶ Engaging board “A” to lead an assessment of board “B”
- ▶ Requires a high level of trust
- ▶ Can become subjective and arbitrary in the absence of standards

# Balanced Score Card

- ▶ Can provide a broad performance perspective – heuristic
- ▶ Appropriate for aligning & assessing performance against strategy
- ▶ Value based on the quality of the vision and strategy

**Aim at the wrong target and you are unlikely to hit the right one.**



# 360 Evaluation

- ▶ Feedback from a variety of stakeholders (multi-rater)
- ▶ Only as good as the tool used and the candor of those participating
- ▶ Participant selection can be problematic
- ▶ Can create broader awareness of the review
- ▶ Research has shown that self-rating paints a rosier picture than multi-rating – may be more accurate



# Ongoing Standards Based Self-Assessment

- ▶ Goal is to understand performance relative to a set of standards
- ▶ Requires a “community of practice” that can develop standards (member boards)
- ▶ Allows visibility into change over time – an ongoing process (Annual board census?)
- ▶ Metrics based – can be less subjective

# Developing Standards

- ▶ Determine key metrics that reflect effectiveness:
  - Cost per licensee?
  - Number of complaints closed?
  - Ratio of public protection cases to administrative cases?
  - Time to closure on complaints?
- ▶ Cost per licensee, by itself, is probably the worse measure you could use.

“We have the lowest cost per licensee in the country!”

# Benefits

- ▶ Provides a baseline for understanding progress
- ▶ Potential for a better understanding of your boards
- ▶ Provides material for sunset reviews

# Challenges

- ▶ Big board dominance
- ▶ Status Quo
- ▶ Sunshine laws
- ▶ WADITW
- ▶ Fear of Comparison to other Boards

# So what? Now what?

- ▶ Assessment alone is not enough
- ▶ Improvement is the order of the day
- ▶ Provide Boards with the tools to increase their effectiveness
- ▶ The objective is to help boards become more effective
  - Understanding where they need to improve (assessment)
  - Providing the tools that will help them address specific needs (improvement)

# Clusters of Excellence



# Questions?

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