

2019 LOTS Case Study Item Worksheet—Item 1.2

Governance and Societal Contributions

Relevant Key Factors

1. **MVV + C** Mission: We save and improve lives. Vision: Organs and tissues are always available. Values: compassion, teamwork, honesty, quality, improvement. Culture: strong drive to meet mission. MVV are foundation for culture, basis for how applicant is managed.
2. **Regulatory Environment** Mandatory: CAP, CMS, EEOC, FDA, DoL, IRS, OSHA; Voluntary: AATB, AOPO, UNOS/OPTN (Figure P.1-5). Local environmental/regulatory for fire/sanitation, biohazard trash disposal local/state regulations.
3. **Voluntary, community-based governance**; 15-member BOD composed of hospital executives, physicians, donor family members. Key donor hospitals (partners) and transplant center (customers) representatives are appointed, allowing them to represent customer/partner requirements. CEO reports to BOD and directs ELT of CMO, CHRO, CFO, and COO. LT = ELT, directors, managers, supervisors. BOD evaluates CEO performance. CEO evaluates direct reports, reports evaluate directors, directors evaluate managers/other staff members.
4. **Customer & Stakeholder Key Requirements** Organ transplant centers—maximize donation, information, competence. Tissue processors—maximize donation, information, accountability. Stakeholders/requirements: communities within service area—comply with legal, ethical, regulatory requirements while providing quality organs/tissues; workforce—connection with VMV, excellent benefits, coworkers; BOD—strategic planning, administration, financial management.
5. **Strategic Challenges** Business—industry changes, operational—authorization, societal responsibility—increase registry, workforce—retention
6. **Strategic Advantages** Business—Stakeholder satisfaction, strong financial position (7.5 text); operational—facilities and equipment; societal responsibility—Baldrige business model; workforce—supportive culture

Strengths

Relevant KFs	++	Strength	Evidence	Item Ref.
1, 4		<p>The BOD and CEO use established processes to evaluate the performance of the BOD, CEO, and SLs reflecting effective governance and leadership practices.</p> <p>A[M], D, I</p>	<ul style="list-style-type: none"> The BOD Compensation Committee uses a self-evaluation and organizational performance to evaluate the CEO. The CEO evaluates SL performance annually using the PEP. The BOD uses a biannual self-evaluation to identify both performance and developmental opportunities. 	a(2)
4, 6		<p>Board and Senior leaders ensure responsible governance, accountability, & transparency</p> <p>A[M], I</p>	<ul style="list-style-type: none"> the composition and involvement of the community-based BOD Practices of Board to regularly review & achieve accountability. performance measures through the PMS Participation in voluntary accreditations 	a(1)
2, 5		<p>The BOD and Senior Leaders address legal, regulatory, and community concerns potentially helping to address the strategic challenge of industry changes.</p> <p>A[M], D, I</p> <p>Not clear if processes to address & anticipate concerns;</p>	<ul style="list-style-type: none"> BOD representation from the greater stakeholder community to anticipate concerns creating a Crisis Communication Plan as needed achieving voluntary accreditation from AOPO and AATB. SLs follow a strict adherence to policies and procedures for organ allocation, and use internal and external audits to assure regulatory requirements are met 	b(1)
4, 1		<p>Stakeholder groups are involved in the promotion of legal and ethical behavior by engaging the workforce, customers, and other stakeholders.</p> <p>A[O] (no measures/indicators), D, I</p>	<ul style="list-style-type: none"> Code of professional conduct for all employees and physicians conflict of interest Corporate Compliance Program (CCP) (Figure 1.1-2). Anonymous mechanism for workforce & stakeholders to report noncompliance 	b(2)

Opportunities for Improvement

Relevant KFs	--	Opportunity for Improvement	Evidence & Potential Impact	Item Ref.
1, 4, 5, 6		<p>The processes to determine areas for organizational and SL actions to support and strengthen key communities are not evident.</p> <p>A[O]</p>	<ul style="list-style-type: none"> the decision process regarding the construction of the Donor Memorial Monuments is unclear. it is not clear how SLs and the workforce contribute to improving key communities and building community health. <p>Potential Impact: Repeatable processes to connect with and improve key communities may strengthen the engagement of the mission-driven workforce.</p>	c(2)
1,4		<p>Cycles of systematic evaluation and improvement for some key processes are not evident.</p> <p>L</p>	<ul style="list-style-type: none"> there is no indication of how the Organizational Governance and Societal Contribution processes have been evaluated for improvement opportunities. <p>Potential Impact: The systematic evaluation of processes for possible improvements may improve their effectiveness and/or efficiency and help address the key requirements of both communities within the service area and the BOD.</p>	a,b,c

Scoring

Score Value: 60

Score Range: 50–65%

Rationale:

- **Approach:** Responsive to multiple questions, but no fully responsible to multiple questions (70-85%)
- **Deployment:** Strengths indicate well deployed, but may be gaps (50-65%)
- **Learning:** no evidence of fact-based systematic evaluation or improvement process as identified in OFI (30-45%)
- **Integration:** Strengths provide evidence of alignment with overall organization needs and key processes (50-65%)