

INTEGRATION JOINT BOARDS GOOD GOVERNANCE MATURITY MATRIX

DECEMBER 2019

KEY ELEMENTS	PROGRESS LEVELS							
	0	1	2	3	4	5	6	7
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PURPOSE AND VISION	No	1 BASIC LEVEL Principle accepted	2 BASIC LEVEL Agreement of commitment and direction	3 EARLY PROGRESS IN DEVELOPMENT	4 FIRM PROGRESS IN DEVELOPMENT	5 RESULTS BEING ACHIEVED	6 MATURITY Comprehensive assurance	7 EXEMPLAR
STRATEGY AND JB ASSURANCE FRAMEWORK (BAF)	No	Strategic objectives agreed by board and tested with partners. Formal strategic planning in place which demonstrates shared understanding and clarity of outcomes between JB members	Strategy owned and agreed by JB, after canvassing views and input from commissioners, partners and other stakeholders.	Board Assurance Framework (BAF) used as key instrument to provide strategic focus for Board and its committees. Operational plans reflect milestones against agreed strategy.	Progress and performance against delivery made on a planned basis during Year. JB has protected long-term priorities from short-term pressures.	JB continually testing how changes in its operating environment affect delivery of strategy. Main strategic outcomes being met and reported openly.	Evidence that strategic aims are being adhered to, meeting agreed milestones on longer-term trajectory.	JB is able to demonstrate consistent achievement of strategic goals over the last 3 years and its influence and impact on other stakeholders and communities.
LEADERSHIP AND CAPACITY	No	Roles, expectations and contributions of all JB members are clear, with specific roles and role descriptions agreed.	Capacity and skills assessment of JB linked to strategic purpose and ambition is understood by JB members. Systematic JB development programme in place.	JB development programme is based on prior systematic review and understood by JB members. Assessment & PDPs in place for both JB members and executive team.	Succession plan in place. Individual PDPs for directors being delivered with an annual assurance process on impact. Specific development support available for JB Chair, Committee Chairs, and members	JB can demonstrate it is visible in leading rather than following a local transformation and service development agenda.	Organisation is identified as being led well against independent standards as an organisation and system leader.	JB considered a national leader, providing buddying support to others.
MONEY/FM	No	Budget, cost pressures & efficiency targets, and their impact, are clearly identified by the JB.	Effective and efficient processes for agreeing budgets are in place, with priorities to agreed timeliness.	All in-year plans are costed and trajectory of spend / savings established to achieve breakeven or target. Quality implications robustly tested.	There is evidence of transformation in the use of core resources in support of change and innovation.	Directions are delivering services which are consistently running under benchmark costs.	Headroom has been created for both strategic and tactical investment in developments, change and improvement to services, assets and well-being.	Evidence of successful leverage of wider community resources to improve service delivery and outcomes.
QUALITY, RISK AND AGILITY	No	JB understands risk at a comprehensive strategic instrument. All known risks identified with mitigation plans in place.	Forward-looking risk system in place for JB identifying both threats and opportunities. Quality impact embedded in systems.	Risk appetite for key strategic issues and outcomes such as safe staffing levels are known and built clearly into plans/BAF.	Continuity plans and what if? scenarios are regularly used to explore material issues and opportunities, and support longer-term sustainability.	JB confident it can both anticipate and respond to a crisis/opportunity in a timely fashion. Can quote case studies of successful escalation and intervention.	JB is able to measure and demonstrate risk appreciation and an agile response to unpredictable and anticipated incidents.	JB has successful, demonstrable risk mitigation track record over a period of time, recognised by the public. Systems respond well to unknowns as they occur, with high levels of involvement.

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MEASUREMENT AND INTEGRATED REPORTING	No	UB understands and recognises value of quality assured data. UB reports are accurate and timely, using such data and information.	Resources are aligned to sustainable targets, standards and local priorities. All UB papers integrate activity, cost, quality & transformation agendas. BAF and reporting relate.	UB has public reporting in place for social, economic and environmental impact and opportunities (integrated reporting). UB reviews impact measurement and benefits realisation for Directions	Targets/outcomes agreed for health improvement / community wellbeing / public protection / harm reduction. Systematic outcome-related reporting to both UB and stakeholders in place.	Annual review of UB demonstrates candid self awareness and progress against agreed action plans and deliverables.	UB systematically receives reports from stakeholders providing feedback on implementation of plan, outcomes and impact.	UB is seen by the public as a leader in terms of positive impact on health and care in the city of Edinburgh. UB can systematically demonstrate delivery of outcomes in line with agreed stakeholder expectations.
ASSURANCE AND STEWARDSHIP	No	UB's audit committee in place, with clear annual cycle of business. UB assures itself that the BAF is balanced and reflects changing priorities. A member handbook or equivalent is in place.	Control mechanisms in place for entire BAF. UB has identified, agreed and owns assurances. Annual review of audit committee, and of committee cycles of business.	Independent assurance systematically sought through external, internal and clinical audit, and acted upon. All regulatory compliances, tests and actions met or explained.	UB annually confirms tolerance levels for assurance and risk to committees. UB can demonstrate robust scrutiny of these.	UB able to invest significant resources derived from own savings / service change to community wellbeing, research, innovation & staff development.	UB confident it has evidence based, intelligent analysis and assurance of systems and drivers across the health economy. This analysis to define its impact.	UB benchmarks as a national leader in terms of sustainable outcomes and impact against resources.
PROBITY AND REPUTATION	No	Standards of Conduct and Behaviour for UB explicit and accepted. Processes in place to manage conflicts of interest.	Conflicts of interest policy covers UB and senior staff, is up-to-date and records actioned.	UB has third party evidence of its reputation and standing which it reviews. Risk appetite includes reputation.	Probity expected of all partners, suppliers and providers. This is written into contracts and reflected in Directions. Risk appetite agreed annually.	Reputational risk considered in scenario and 'what if?' exercises.	UB seeks and acquires good governance recognition from an independent authority.	UB able to evidence impact of benefits achievement of all spect of UB strategy.
DECISION-MAKING AND DECISION-TAKING	No	Decision-making includes appropriate consultation and option/impact appraisal. Processes for consultation and involvement are agreed	Information processing and analysis are focused on evidence over opinion. UB and committee agendas reflect materiality.	Integrated information, audit, assurance and risk-assessments are systematically used by UB, in all its work.	UB consistently takes decisions based on materiality and evidence.	Independent evidence that the UB takes decisions in a robust, transparent manner with assurances available to stakeholders.	Audit committee has reviewed key decisions of UB and committees for their robustness and alignment.	UB able successfully to influence national decision taking on policy and priorities.
STAKEHOLDER ENGAGEMENT	No	Engagement policy and strategy in place based on stakeholder mapping.	Service user, staff, public and partner engagement recognised as key resource to design and deliver the core purpose of the UB.	UB's engagement and involvement process with citizens and service users has a high profile with all stakeholders.	Stakeholders confirm UB effectively engages with them and this is reflected in strategies and plans. Strategic Planning Group operates as effective forum for reconciliations of professional/clinical opinion with citizen voice.	Effectiveness of engagement and involvement arrangements are reviewed and agreed with partners on a regular basis. There is evidence of the impact of engagement with all stakeholders.	Independent evidence that citizens, partners, service users and local public organisations feel involved and engaged in health and care issues that matter to them.	UB recognised as a national leader in effective engagement with stakeholders beyond Scotland.
BOARD SUPPORTS AND COMMITTEE STRUCTURES	No	Audit committee role developed to take on independent scrutiny function. Committee structure confirmed by last annual UB review.	Governance capacity and support matches demand. All assurance issues are supported effectively. Senior independent Director (SID) / Vice Chair appointed.	Workload and agendas for UB and committees are planned in advance using an annual cycle of business. Executive and UB task groups have time-limited existence.	UB meeting at least 'firm progress' levels of audit committee. Internal and external auditors and advisors aligned to agenda and role.	Annual cycle of business reviewed at year-end, planned activities reviewed and roles refreshed. Time commitments of UB members reviewed and business adjusted	Overall time investment in UB and committees reduced through organisational effectiveness.	UB's systems adopted by others as examples of good governance practice.
APPRAISAL PROCESS OF DIRECTORS, AND OTHER FEEDBACK	No	Clarity of role for all UB members understood and explicit. All members recruited against role descriptions.	Sufficient capacity with authority to advise UB on compliance and legal issues is in place.	Third party views included in annual UB review process. Process for performance reviews of UB members and Executives is understood and supported by UB members.	Audit committee fulfils specific role of UB against expected best practice standards. Internal & external auditors & advisors aligned to agenda & role.	Systematic feedback sought on added value of UB. Exit interviews always offered.	Role of UB member is recognised as adding value by citizens, partners and stakeholders.	UB member role recognised 'as public appointment of choice'.