

# Deep Dive Maturity Matrix



## DEEP DIVE MATURITY MATRIX

DRAFT VERSION 1.1 - DEC 2015

TO USE THE MATRIX: IDENTIFY WITH A CIRCLE THE LEVEL YOU BELIEVE YOUR ORGANISATION HAS REACHED AND THEN DRAW AN ARROW TO THE RIGHT TO THE LEVEL YOU INTEND TO REACH IN THE NEXT 12 MONTHS.

| PROGRESS LEVELS                                  | 1  | 2   | 3   | 4  | 5   | 6  | 7   |
|--|----|---|---|--|---|--|---|
| KEY ELEMENTS                                     | 1  | 2   | 3   | 4  | 5   | 6  | 7   |
| <b>1. ASSURANCE</b>                              | No | Board recognise need to 'own' assurance   | Board have suite of assurances and recognise value and deficiencies                             | Board have defined assurances they require subject to VFM test                   | Board have applied assurances they have identified                                    | Independent assurance systems in place and working                                       | Organisation shares model approach with others                                    |
| <b>2. TRIGGERS</b>                               | No | Board recognises need for system of triggers to be escalated to Board                   | Triggers initiate an assessment of how best to handle concerns                                  | Lack of assurance of progress prompts a NED initiated deep dive                  | Triggers are acted upon by staff proactively with reports to board on effectiveness   | Deep dive programme is proactively based on otherwise ignored areas rather than problems | Organisation shares model approach with others                                    |
| <b>3. SUPPORTS</b>                               | No | The board secretary has defined role in support of whole board                          | Internal audit and clinical audit has defined role in support of collective board               | Agreed deep dives can draw on team of support                                    | Deep dive support team can be mobilised promptly and effectively                      | Deep dive support team can operate across health economy to cover pathways               | Health economy has understanding of capacity and commitment to support deep dives |
| <b>4. TRAINING</b>                               | No | Staff are inducted and have refresher training in risk, audit, assurance and deep dives | Board members are inducted and have refresher training in risk, audit, assurance and deep dives | Board runs scenario deep dives to improve understanding and skill                | Board rehearse successful deep dives and seek to improve and apply learning           | Active deep dives are used to train new board members                                    | Board members advise other organisations of their approach                        |
| <b>5. RISK APPETITE &amp; TOLERANCE</b>          | No | Board has engaged in risk appetite understanding  | Board have defined tolerances for devolved management   | Board have defined escalation process for devolved management / committees       | Management can advise accurately on competence and capacity to undertake improvements | Tolerances are lifted in light of greater assurance                                      | Board members advise other organisations of their approach                        |
| <b>6. PROGRAMME &amp; LEARNING</b>               | No | Organisation has defined itself as a learning organisation                              | Staff are inducted and given refresher training in empowerment                                  | Learning and improvements are shared throughout organisation                     | Learning and improvements are applied to whole organisation                           | Evidence of improvements modified to suit local circumstances                            | Organisation is recognised through evidence as a learning organisation            |
| <b>7. ALIGNMENT: INTERNALLY &amp; EXTERNALLY</b> | No | Board is aware of range of investigations, reviews, audit etc.                          | Board is seeking to use range of investigations, reviews, audit etc. strategically              | The range of investigations, reviews, audit etc. are used strategically by board | Organisation has aligned its reviews with partners and commissioners                  | Organisation has planned its reviews with partners and commissioners                     | Organisation shares model approach with other health economies                    |

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