



Good Governance *Framework*



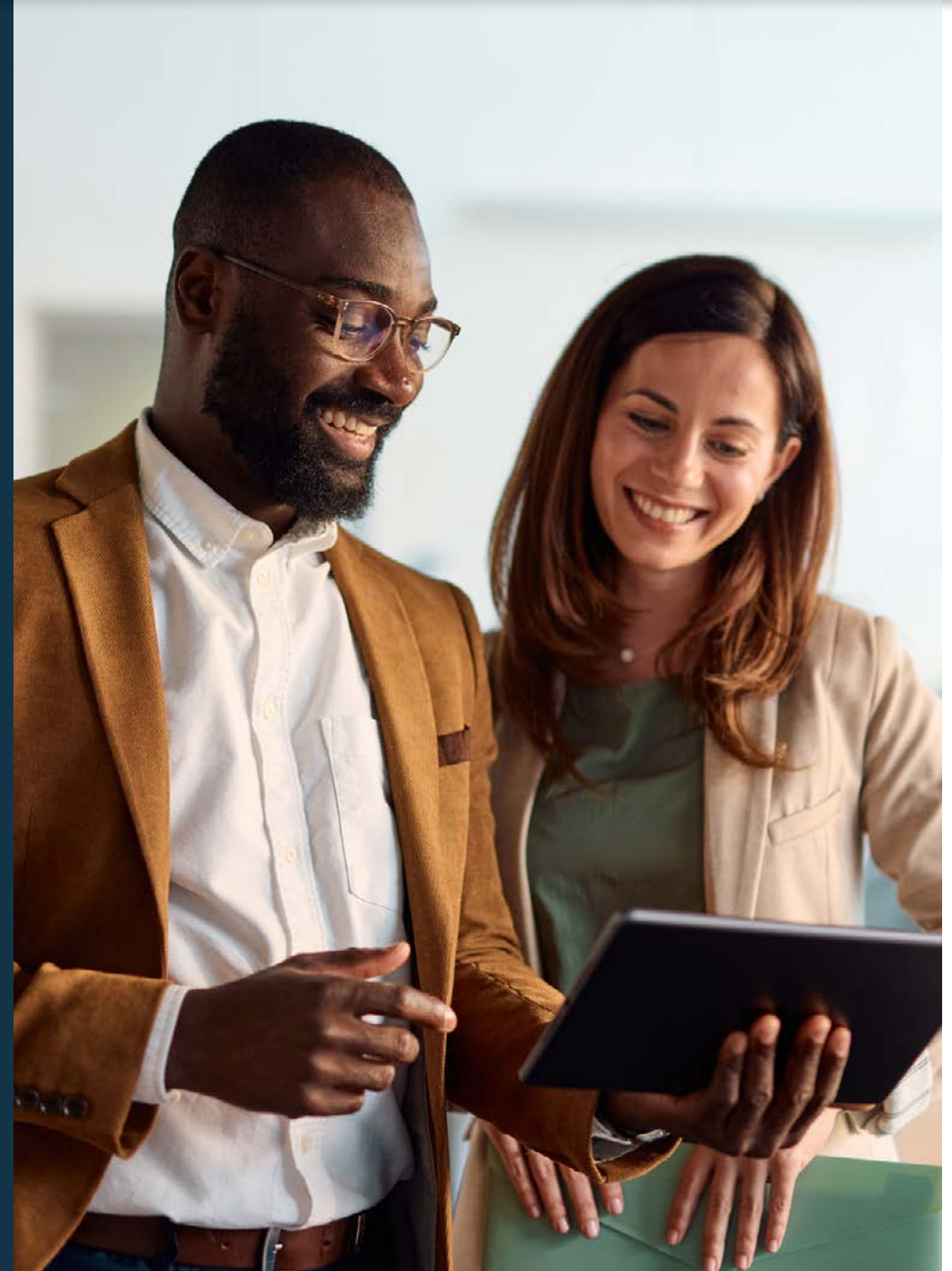
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Governance framework *overview*





Corporate governance *(the Board)*

Foundation	Evolving	Contemporary/best practice
Minimal or unclear objectives/strategy.	Some long term planning undertaken.	Clear vision, values and objectives.
Membership is static and lacks diversity (skills and/or demographic).	Membership evolving to reflect community diversity and introduce a broader skills mix.	Membership is diverse and regularly refreshed with skill gaps monitored and addressed.
Members receive some induction and development and/or have a limited understanding of their accountabilities.	Members inducted, receive some professional development and have some understanding of their accountabilities.	Members are well inducted, receive regular professional development and have a strong understanding of their accountabilities.
Some consumer participation in decision making.	Consumers consulted in decision making.	Partnership approach with consumers in decision making.
Ineffective decision-making	Decision making well informed across some domains of accountability.	Members well informed and able to challenge management on all areas of operation.
Some review/evaluation of governing body and/or individual member capability and effectiveness.	Undertaking intermittent and/or informal governing body and individual capability review/evaluation.	On-going member performance feedback, regular self-assessment of governing body effectiveness and periodic independent evaluation.
Some engagement with management and operations.	Good relationship and engagement with management and operations.	Strong relationship with management and clear connection between Governing Body and operations.

Summary of Ageing Australia support

FREE member services and resources

- Ageing Australia Member Advisory Service
- Learning and professional development webinars
- Resources
 - Aged Care Governance Manual
 - Governing Body Member Skills Assessment and Skills Matrix
 - Towards Good Governance Workplan
 - Governing Body Maturity Assessment

FEE-for-service supports

- Tailored Consultancy
 - Bespoke support and training
- Learning and professional development
 - Courses, webinars etc. scheduled or on demand
- Software systems
 - Ageing Australia® Quality Management System
 - Ageing Australia® Compliance Hub including the Board Governance Toolkit



Operational governance *(the organisation)*

Foundation	Evolving	Contemporary/best practice
Some planning and/or alignment with strategy.	Operational planning aligns with objectives.	Clear connection between strategy and operational activities.
Poor culture/values e.g. high staff turnover and/or workplace injuries, poor communication.	Values and staff performance expectations defined. Staff reasonably engaged, average turnover	Staff fully engaged e.g. demonstrate values, low turnover, understand roles and responsibilities, confident to respond and/or report issues. Strategy in place to ensure continuity in key roles.
Basic definition of systems and processes, staff understanding of them and/or review/evaluation.	Documented and communicated systems and processes with periodic review.	Ongoing review of the effectiveness of systems and processes, strong quality assurance program and embedded continuous improvement culture.
Manual or disconnected information systems.	Information systems allow some analysis and reporting on performance.	Integrated information systems allowing timely analysis and reporting.
Some engagement with consumers e.g. focus on information provision only, consumers unable/unwilling to offer feedback, barriers to access services.	Consultative approach to engaging with consumers.	Partnership approach to engaging with consumers.

Summary of Ageing Australia support

FREE member services and resources	FEE-for-service supports	
Ageing Australia Member Advisory Service Learning and professional development webinars	Tailored Consultancy <ul style="list-style-type: none"> – Bespoke support and training Learning and professional development <ul style="list-style-type: none"> – Courses, webinars etc., scheduled or on demand 	Software systems <ul style="list-style-type: none"> – Ageing Australia® Quality Management System – Ageing Australia® Compliance Hub



Care governance (care systems)

Foundation	Evolving	Contemporary/Best practice
Basic definition of model of care or expectations of what indicates 'quality' care.	Some understanding of model of care and quality care indicators.	Clearly defined model of care and quality expectations based on evidence-based research. Embedded commitment to care quality and safety.
High level of unfilled shifts or reliance on agency staff Limited understanding by, and engagement of, staff in delivering quality care	Understanding by key staff of their roles and responsibilities in care delivery. Some unfilled shifts	Sufficient workforce that is capable of delivering expected care quality. All staff play a role in delivering expected level of care.
Some monitoring of care quality indicators. High level of care indicators below industry standards	Regular performance monitoring and focus on improving care outcomes. Care quality indicators meet industry standards	Ongoing monitoring of care indicators and commitment to improving care quality. Indicators consistently exceed industry standards
Staff and consumers unable or unwilling to report issues.	Processes for reporting issues are defined and generally followed.	Staff and consumers feel safe to, and routinely report issues.
Basic engagement with consumers on care quality matters.	Consultation with consumers individually and collectively on care quality matters.	Person-centred and co-ordinated approach to care with open communication at all times. Multi-faceted approach to engaging with consumers both collectively and individually.

Summary of Ageing Australia support

FREE member services and resources	FEE-for-service supports	
Ageing Australia Member Advisory Service Learning and professional development webinars	Tailored Consultancy <ul style="list-style-type: none"> – Bespoke support and training Learning and professional development <ul style="list-style-type: none"> – Courses, webinars etc., scheduled or on demand 	Software systems <ul style="list-style-type: none"> – Ageing Australia® Quality Management System – Ageing Australia® Compliance Hub

What *is* good Governance?



What *is* good Governance *in* aged care?

Governance relates to the systems for directing and controlling an organisation and ensuring it meets its responsibilities.

In aged care this includes the systems and processes to ensure older people receive personal, coordinated, effective and safe care and services (care governance).

Good governance in aged care requires a commitment to quality, safety and compassion and is essential for ensuring older people's rights are respected and they receive the care and support they need to live with dignity and respect.

It entails:

- **ethical and responsible leadership** that promotes the best interests of the older person, community and organisation
- **effective and efficient use of resources** to deliver high quality care and services that meet the needs and preferences of the older person
- **open and transparent communication** with the older person, families, carers, staff and other stakeholders about the care and services provided and outcomes achieved
- **robust systems and processes for risk management, quality assurance and continuous improvement** including regular monitoring, evaluation and reporting
- **adequate training, support and supervision** of staff to ensure they have the skills, knowledge and attitudes necessary to provide person-centred care
- **collaboration and partnership** with other agencies, governments and communities to address emerging issues and promote the wellbeing of older people
- **recognition, respect and protection** of the rights and dignity of older people including their autonomy, privacy and cultural diversity.

What *is a* good Governance structure?

An organisation's governance structure will vary according to the nature of the legal entity and may be recorded in a constitution or equivalent foundation document.

However to meet their responsibilities and achieve contemporary good governance, subject to the registration category, the structure should consist of at minimum:

- a **Governing Body** comprising membership with the mix of skills, experience and knowledge of governance responsibilities required to provide oversight of the organisation's structures, systems and processes plus level of independence to ask the right questions, test management and ensure the organisation is delivering on its purpose (see below for its role)
- a **Consumer Advisory Body** to engage with people receiving care and services, their representatives and staff to obtain their views on the quality and safety of the services and the way in which they are delivered or could be improved
- a **Care Governance/Quality Advisory Body** to monitor the quality of care provided, ensure accountability and provide objective advice to the Governing Body
- **other committees as appropriate** dedicated to specific governance responsibilities such as finance and risk to provide advice and direction to the Governing Body and are accountable to that body
- an **operational management team** with the skills and experience to implement the strategy set by the Governing Body, create a productive and sustainable work environment and oversee the delivery of consumer care and services (see below for its role).

What *is the* role *of the* Governing body?

The Governing Body has the ultimate responsibility and influence over the care and service provided to the older people the organisation supports.

Its primary role is to protect the rights, interests and wellbeing of those people by:

- **setting a clear purpose** for the organisation and strategy which aligns its activities to its purpose
- **instilling a culture and defining behaviours** that support the organisation's purpose and strategy and drive quality and safe care and continuous improvement
- **ensuring sufficient resources** are available to deliver on the organisation's purpose
- ensuring the Governing Body and **workforce structure, composition and management practices** enable the organisation to achieve its purpose and individuals to fulfil their roles effectively
- **implementing a care governance framework** that supports safe, quality care and positive outcomes for each older person receiving care
- **setting a risk appetite and implementing a framework** that ensures risk management informs decision making
- **ensuring a system for receiving feedback and dealing with complaints** is in place which involves regular reports to the Governing Body about complaint activities including analysis of trends and underlying causes
- **ensuring systems support informed decision making** through appropriate collection, storage, analysis and transfer of information
- **monitoring strategic and operational performance** including that care quality expectations are met and financial and other resources are used appropriately
- **meaningful engagement with consumers and other stakeholders** so their interests are understood and considered in relevant decision-making
- **overseeing compliance** with relevant laws, regulations, standards and internal policies
- **regular review and evaluation** of its own performance.

What *is the* role *of the* management team?

The Management team is tasked with the day to day running of the organisation to achieve the strategy set by the Governing Body.

Its role is to:

- **provide leadership** that motivates employees to fulfil the organisation's purpose, encourages a positive and collaborative culture and maintains a harmonious work environment
 - **design and maintain the organisational structure** including defining roles, responsibilities and reporting lines to ensure the organisation operations efficiently and effectively.
 - **plan, recruit, retain and educate the workforce** to meet the organisation's ongoing needs
 - **implement an effective care governance framework** that supports the provision of person-centred, coordinated, effective and safe care based on each older persons' needs, goals and preferences
 - **efficiently utilise the human, financial, technological and physical resources** to achieve the organisation's purpose
- **monitor and manage risk** at an organisational level as well as that associated with the care and support provided to individual older people
 - **monitor key performance indicators** to assess progress toward the organisation's goals, identify areas of improvement and implement necessary changes
 - **ensure clear and consistent communication** across all levels of the organisation
 - **establish and maintain relationships** that contribute to the organisation's success including with consumers, suppliers, regulatory bodies and the general public
 - **monitor the external environment for legislative change and industry reform**, in order to advise the Governing Body and respond in a timely manner.



Further *reading*

PROVIDER GOVERNANCE OBLIGATIONS (ACQSC)

www.agedcarequality.gov.au/providers/provider-governance/provider-governance-obligations

CLINICAL GOVERNANCE IN AGED CARE (ACQSC)

agedcarequality.gov.au/resources/clinical-governance

FAIR WORK COMMISSION – GOOD GOVERNANCE GUIDE

www.agedcarequality.gov.au/resources/clinical-governance

AUSTRALIAN INSTITUTE OF COMPANY DIRECTORS

www.aicd.com.au/good-governance



Governance *'at a glance'*









Corporate Governance *'at a glance'*

Corporate governance is the functioning of the Governing Body and supporting systems that enable the organisation to be effectively directed and controlled.

	 LEADERSHIP AND CULTURE	 CONSUMER PARTNERSHIPS	 STRUCTURE	 SYSTEMS AND PROCESSES	 COMMUNICATION AND RELATIONSHIPS
KEY ELEMENTS	<ul style="list-style-type: none"> Clear Purpose. Vision and Values. 	<ul style="list-style-type: none"> Partnership with consumers. Clinical/Care. Governance. 	<ul style="list-style-type: none"> Governing Body. Membership. Sub-committees/Advisory Bodies. 	<ul style="list-style-type: none"> Governing Body operating model. Compliance and Risk Management. 	<ul style="list-style-type: none"> Stakeholder engagement Information management
FEATURES	Strategic planning and decision-making. Organisational capability.	Consumer participation. Quality and safe care.	Defined roles and responsibilities. Member recruitment, induction and development. CEO appointment.	Effective Governing Body operation. Effective decision-making.	Informed decision-making. Interface with operations (engagement with CEO).
RESOURCES / DOCUMENTS	Strategic Plan. Vision and Values Statements.	Consumer Advisory Body ToRs. Engagement mechanisms. Clinical Governance Framework.	Governance manual. Sub-committee/Advisory Body ToRs. Skills assessment and matrix.	Risk appetite statement. Code of Conduct/Ethics. Conflict of interest declaration.	Briefing paper/Report templates. Stakeholder engagement mechanisms.
MEASURES OF SUCCESS	Operating plans reflect strategic objectives. Employee experience.	Consumer experience. Care quality indicators. Feedback and complaints.	Skills development activities. Annual effectiveness review. Member performance reviews.	Annual effectiveness review. Compliance levels. Risk monitoring.	Annual effectiveness review. Stakeholder feedback.







Operational Governance *'at a glance'*

Operational governance is the functioning of the organisation and supporting systems and processes that enable it to operate effectively.

	 LEADERSHIP AND CULTURE	 CONSUMER PARTNERSHIPS	 ORGANISATIONAL SYSTEMS	 MONITORING AND REPORTING	 EFFECTIVE WORKFORCE	 COMMUNICATION AND RELATIONSHIPS
KEY ELEMENTS	<ul style="list-style-type: none"> Organisational structure. Planning. 	<ul style="list-style-type: none"> Consumer focused. Consumer engagement. 	<ul style="list-style-type: none"> Documented. Integrated. 	<ul style="list-style-type: none"> Performance measures. Reporting. 	<ul style="list-style-type: none"> Sufficient. Capable. 	<ul style="list-style-type: none"> Stakeholder engagement. Record keeping.
FEATURES	<p>Clear purpose, vision and values.</p> <p>Effective strategic and operational planning.</p> <p>Defined roles and accountabilities.</p> <p>Defined operating/ service delivery model.</p>	<p>Implemented and effective consumer engagement strategy.</p>	<p>Systems are documented, communicated, applied uniformly, regularly reviewed and have responsibility assigned.</p>	<p>Performance indicators.</p> <p>Data collection.</p> <p>Review systems.</p>	<p>Workforce plan.</p> <p>Recruitment, induction and development.</p> <p>Supervision.</p>	<p>Stakeholder engagement strategy.</p> <p>Communication plans.</p> <p>Information management.</p>
RESOURCES / DOCUMENTS	<p>Strategic Plan.</p> <p>Budget/operating plan.</p> <p>Organisation chart.</p>	<p>Consumer Advisory Body ToR.</p> <p>Surveys, feedback mechanisms.</p>	<p>Policy management system.</p>	<p>Internal/external audits.</p> <p>KPI monitoring.</p> <p>Report templates.</p>	<p>Recruitment processes.</p> <p>Training plans.</p> <p>Performance monitoring and review.</p> <p>Position descriptions.</p>	<p>Contracts/Agreements.</p> <p>Information systems.</p>
MEASURES OF SUCCESS	<p>Performance against strategic/operational plans.</p> <p>Staff experience.</p>	<p>Consumer/ Representative experience.</p> <p>Feedback and complaints.</p>	<p>Continuous improvement outcomes.</p> <p>Compliance levels.</p>	<p>Improvements based on monitoring outcomes.</p>	<p>Staff experience.</p> <p>Turn-over/retention rates.</p> <p>Monitoring outcomes.</p>	<p>Stakeholder experience.</p>

Care Governance *'at a glance'*

Care governance is the structure, systems and processes that enable the delivery of safe and quality care.

	 LEADERSHIP AND CULTURE	 CONSUMER PARTNERSHIPS	 ORGANISATIONAL SYSTEMS	 MONITORING AND REPORTING	 EFFECTIVE WORKFORCE	 COMMUNICATION AND RELATIONSHIPS
KEY ELEMENTS	<ul style="list-style-type: none"> Organisational structure. Care quality vision and goal. 	<ul style="list-style-type: none"> Consumer focused. Co-design approach. 	<ul style="list-style-type: none"> Documented policies and processes. 	<ul style="list-style-type: none"> Performance measures. Reporting. 	<ul style="list-style-type: none"> Sufficient workers. Competent workers. 	<ul style="list-style-type: none"> Effective communication. Strong relationships.
FEATURES	<p>Defined roles and accountabilities.</p> <p>Commitment to safe and quality care.</p> <p>Defined model of care.</p> <p>Performance monitoring.</p>	<p>Open and respectful communication.</p> <p>Informed consent.</p> <p>Consumer rights promoted.</p> <p>Engagement in planning.</p>	<p>Systems and processes understood and followed.</p> <p>Evidence based.</p> <p>Continuous improvement.</p>	<p>Data collection.</p> <p>Effective record keeping.</p> <p>Defined performance indicators.</p> <p>Ongoing monitoring.</p>	<p>Workforce planned, qualified, supported and developed.</p> <p>Defined roles and responsibilities.</p> <p>Workers engaged in clinical care.</p>	<p>Good record keeping.</p> <p>Open disclosure.</p> <p>Structured communication practices.</p>
RESOURCES / DOCUMENTS	<p>Organisation chart.</p> <p>Clinical/Care Governance Framework.</p> <p>Model of care.</p> <p>Committee/Advisory Body ToR.</p>	<p>Consumer Engagement Framework.</p> <p>Policies, processes and forms.</p> <p>Surveys, feedback mechanisms.</p>	<p>Quality management system.</p> <p>Policies and processes covering clinical risk.</p>	<p>Clinical information system.</p> <p>Internal/external audits.</p> <p>Report templates.</p>	<p>HR policies and processes.</p> <p>Agreements with visiting practitioners.</p>	<p>Communication policy.</p> <p>Handover process and forms.</p> <p>Information systems.</p>
MEASURES OF SUCCESS	<p>Strategic/quality plan outcomes.</p> <p>Staff experience/feedback.</p> <p>Governing Body engagement with care quality.</p>	<p>Care outcomes.</p> <p>Consumer experience.</p> <p>Feedback and complaints.</p>	<p>Continuous improvement outcomes.</p> <p>Policy compliance levels.</p>	<p>Performance trends.</p> <p>Improvements based on monitoring outcomes.</p>	<p>Staff experience.</p> <p>Turn-over/retention rates.</p> <p>Training participation.</p>	<p>Consumer experience.</p> <p>Consumer feedback.</p>



Ageing Australia *support*



Quality Management

Ageing Australia offers two quality management portals to support good governance across all domains.

AGEING AUSTRALIA® QUALITY MANAGEMENT SYSTEM (QMS)

QMS is a cloud based portal unique to your organisation where your policies, processes and other resources are managed and accessed by staff.

The content is developed by Ageing Australia and tailored to the specific requirements of aged care and seniors living providers and can be further customised to reflect your individual practices.

QMS contains registers where incidents, complaints, feedback can be lodged by staff and these plus improvements and risks can be managed and reported on.

Its audit tool allows aged care providers to manage their audit program and validate practice is in line with policy and process.

CORPORATE GOVERNANCE	OPERATIONAL GOVERNANCE	CARE GOVERNANCE
<p>Governance Manual</p> <ul style="list-style-type: none"> structure roles and responsibilities member recruitment induction and development Code of Conduct. 	<p>Policies, processes, templates for management functions including finance, risk, HR, quality, consumer engagement, communications, IT etc.</p>	<p>Care Governance Manual</p> <ul style="list-style-type: none"> Roles and responsibilities Performance monitoring and reporting.
<p>Skills matrix and assessment.</p>	<p>Risk, incident, complaints, feedback and improvement registers.</p>	<p>Policies, processes, templates and audits for:</p> <ul style="list-style-type: none"> all care parameters care coordination information management
<p>Policies for areas of Governing Body accountability including risk, consumer engagement, information management etc.</p>	<p>Audit program for monitoring practice in areas of highest risk.</p>	<p>Incident, complaints, feedback and improvement registers.</p>

More information at ageingaustralia.asn.au/qms

Quality Management

(continued)

Ageing Australia offers two quality management portals to support good governance across all domains.

More information at ageingaustralia.asn.au/quality-and-compliance-platforms/compliance-hub

AGEING AUSTRALIA® COMPLIANCE HUB POWERED BY STANDARDS AND PERFORMANCE PATHWAYS (SPP)

The Ageing Australia® Compliance Hub focuses on supporting good governance with self-assessment modules and an extensive range of good practice guides, information sheets and policy and procedure templates.

Self-assessments enable providers to monitor alignment to relevant standards and requirements with

progress tracked in a continuous improvement plan as well as standards compliance reports.

Evidence can be stored and shared e.g. with Governing Body members or external assessors.

CORPORATE GOVERNANCE

Corporate Governance related good practice guides, information sheets and policy and procedure templates.

Self-assessment against relevant standards.

'Towards Best Practice' modules on Governance, Risk and more.

OPERATIONAL GOVERNANCE

Operational Governance related good practice guides, information sheets and policy and procedure templates for all areas of operations.

Self-assessment against relevant standards with continuous improvement plan.

'Towards Best Practice' modules on finance, risk, HR, continuous improvement, information management and more.

CARE GOVERNANCE

Care Governance related good practice guides, information sheets and policy and procedure templates for all areas of operations.

Care Governance self-assessment with continuous improvement plan.

Tailored consultancy

Ageing Australia's Consultancy team provides professional guidance to support aged and community care providers deliver safe and high quality care that older Australians can trust.

The Consultancy team supports providers to strengthen governance and provide Governing Body confidence in the care and services provided by the organisation through:

- training and mentoring Governing Body members, executives and managers
- developing governance frameworks including quality and risk systems and governance reporting processes
- quality assurance programs.

CORPORATE GOVERNANCE	OPERATIONAL GOVERNANCE	CARE GOVERNANCE
Strategic planning.	Operational governance frameworks.	Care governance frameworks and structures including Quality Care and Consumer Advisory Bodies.
Workforce planning and oversight.	Effective risk and quality management systems.	Complaint and incident investigation.
Risk appetite statements and management frameworks.	Effective governance committee structures and reporting processes.	Clinical risk response such as restrictive practice.
Implement tools and templates for good governance.	Quality standards review and gap analysis.	Bespoke training including care governance, clinical care, complaint and incident management.
Bespoke Governing Body training – e.g. understanding and embedding the Aged Care Act, care governance for non-clinical directors etc.	Coaching and mentoring for leaders.	Coaching and mentoring for clinical leaders.

More information at ageingaustralia.asn.au/consultancy

Learning *and* professional development

Ageing Australia offers a selection of workshops to develop governance capacity.

Workshop name	Domain	Target audience	Details
On Demand Board Governance in Aged Care	Corporate governance	Governing Body members, senior management and clinical leaders in all aged care settings.	Tailored session designed to provide an overview of the practical implications of the new Aged Care Act. ageingaustralia.asn.au/event/board-governance-in-aged-care/
Company Director Course™	Corporate governance	Existing and potential governing body members and senior leaders.	Australian Institute of Company Directors' program contextualised for aged care and community services. It aims to build capability across governance, strategy, financial oversight and board effectiveness, with learning directly aligned to today's reform landscape.
Preparing for your Quality Review (Home Care)	Operational governance	Home and community care Governing Body members, management and those responsible for quality assurance and compliance.	Develops capacity for home care providers to conduct their own internal quality assurance activities and self-assess their preparedness for a quality review by the Commission. ageingaustralia.asn.au/event/preparing-for-your-quality-review
“Be Prepared” – Act with Confidence to an ACQSC Visit	Operational governance	Residential care Governing Body members, management and those responsible for quality assurance and compliance.	Participate in a real-life simulation case study to receive practical tips on preparing for an assessment contact visit including what happens during and after the visit. ageingaustralia.asn.au/event/be-prepared-act-with-confidence-to-an-acqsc-aged-care-quality-and-safety-commission-unannounced-visit/
Clinical Governance in Aged Care	Operational/ Care Governance	Managers in any aged care setting who have responsibility for care delivery leadership.	Delivered over two sessions to operationalise clinical governance by providing structure and direction in the provision of safe high-quality care and delivery of services. ageingaustralia.asn.au/event/clinical-governance-in-aged-care



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