

interRAI New Zealand  
Governance framework for  
the introduction of new  
interRAI assessment tools

interRAI New Zealand  
Governance Board

June 2017

**Revised Version  
Approved by the  
interRAI Governance Board  
7 June 2017**

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## Glossary

<b>AC</b>	Acute Care.
<b>ACC</b>	Accident Compensation Corporation.
<b>Activities</b>	Tasks, sets of tasks and other activities (things) that get done. Activities lead to outputs. For example, the 'activity' of preparing a review plan leads to the output 'review plan'.
<b>AIS</b>	eTraining support for interRAI online education.
<b>ARC</b>	Aged Residential Care.
<b>CAPS</b>	Clinical Assessment Protocols. Risk issues triggered by the data input into the system. These help identify possible interventions.
<b>CCA</b>	Comprehensive Clinical Assessment.
<b>Contribution</b>	Where a result (output or outcome/impact) has occurred <i>in part</i> due to interventions or activities under the control of the project/programme/policy. Where a project/programme/policy is only making a <i>contribution</i> , it is valuable to try to identifying or estimate the extent of this contribution (i.e. is it only a minor contribution or major/significant contribution).
<b>DHB</b>	District Health Board – there are 20 DHBs within New Zealand grouped regionally.
<b>HOP</b>	Health of Older People.
<b>Impacts</b>	The positive and negative changes produced by an organisation/programme/project both direct, indirect, intended and unintended.
<b>interRAI</b>	International resident assessment instrument. interRAI refers to both the international organisation ( <a href="http://www.interrai.org">www.interrai.org</a> ) responsible for developing comprehensive clinical assessment systems, and the suite of clinical assessment tools available. The organisation is a collaborative network of 60 researchers in over 30 countries engaged in improving healthcare for persons who are elderly, frail or disabled. Membership of interRAI includes obligations to share anonymous data internationally and to provide support to other members.
<b>National interRAI data warehouse</b>	Data from all interRAI assessments in New Zealand is stored in a single national data warehouse. This enables a standardised approach to data reporting, the provision of comprehensive benchmarking information and accessible visual representation of the data.
<b>interRAI Governance Board</b>	The coordination and governing body for interRAI processes within New Zealand. Secretariat support is provided by Central TAS.
<b>interRAI Services New Zealand</b>	The national service provider responsible for managing all aspects of national service development and delivery, including data analysis/reporting and education /support for interRAI in New Zealand.
<b>LTCF Assessment</b>	The Long Term Care Facility tool (the tool) is a comprehensive clinical assessment of medical, rehabilitation and support needs and abilities such as mobility and self-care. It was designed for residents in long term care facilities to develop and update their care plans. The assessments share 80% of the items with Home Care, LTCF and Community Health Assessments. <sup>1</sup> The LTCF Assessment is the primary assessment tool for ARC facilities and makes up a part of the interRAI Comprehensive Clinical Assessment (CCA).

<sup>1</sup> Meehan, B. (2014) *Realising the benefits of interRAI comprehensive clinical assessment*.

<b>Momentum</b>	Canadian software company that has developed the interRAI software package and single software platform being used in New Zealand.
<b>NGO</b>	Non-Government Organisation.
<b>NiSS</b>	National interRAI Software Service. A National platform to support the integrated suite of interRAI assessments.
<b>Outcomes</b>	Positive and negative, primary and secondary effects (changes) produced by an intervention, directly or indirectly, intended or unintended. <i>NOTE:</i> Outcomes and Impacts can be used interchangeably, but <i>in general</i> Outcomes often refer to the intended changes, and Impacts refers to all changes that occur (such as positive or negative unintended changes).
<b>Outputs</b>	The products, capital goods and services that result from an intervention. It may also include immediate changes resulting from the intervention which are relevant to the achievement of the outcomes.
<b>Result</b>	An output, outcome or impact. I.e., the 'result' of 'doing' something (such as an activity).
<b>Results Model</b>	The results model is a visual map which links resources (inputs) and activities to the intended outputs (products, good and services) that contribute to a pilot and result in the project's expected outcomes. It is similar to investment logic in a business case and also ties to the measurement framework (i.e. evaluative questions being asked to track the project).
<b>RN</b>	Registered Nurse
<b>Sustainability</b>	The extent to which the results of a project, programme, or activities undertaken by an organisation, are likely to continue/endure after formal assistance/support stops.
<b>Theory of Change</b>	Identifies and explains all the key building blocks or steps required to achieve or realise a long-term or high level goal or goals (i.e., outcome(s)). This can then be captured diagrammatically with a 'model'. The theory of change includes identifying the assumptions being made in order to achieve the goal(s), including those about causation, attribution, contribution, or correlation.

## Purpose

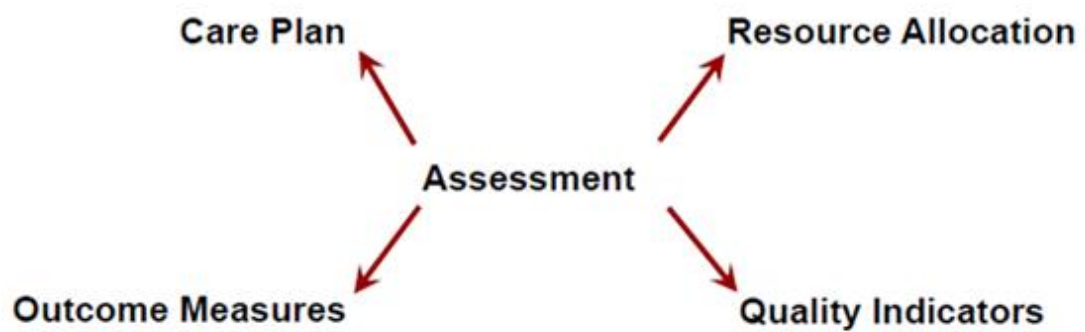
1. This interRAI governance framework provides guidance for organisations seeking approval from the interRAI New Zealand Governance Board (the Board) to pilot an interRAI assessment tool not already in use in New Zealand.
2. Included in this document are protocols, procedures and templates to assist organisations to:
  - a. Develop a proposal to introduce or pilot an interRAI assessment tool.
  - b. Undertake a best practice evaluation of a pilot of an interRAI assessment tool.
  - c. Develop a business case to introduce or roll out an interRAI assessment tool.
3. In particular, the interRAI Governance Framework sets out:
  - a. The guiding principles that will govern the introduction of new interRAI tools.
  - b. Criteria to be used by the Board when evaluating a pilot and making decisions about proceeding to a national rollout.
4. This document was originally approved by the interRAI New Zealand Governance Board in December 2016 and revised in June 2017. It will be reviewed annually.

## Scope

5. The scope of the interRAI NZ Governance Framework covers all requests by any provider or purchaser to introduce or pilot a new interRAI tool in New Zealand. This includes Health and Disability sector groups, District Health Boards (DHBs), Accident Compensation Corporation (ACC), Aged Residential Care (ARC) and Non-Government Organisations (NGOs).

## Background

6. interRAI is a collaborative network of researchers in over 35 countries committed to improving care for persons who are disabled or medically complex. The consortium strives to promote evidence-informed clinical practice and policy decision making through the collection and interpretation of high-quality data about the characteristics and outcomes of persons served across a variety of health and social services settings.
7. interRAI is an enabler for the delivery of health care services whereby assessment data can be used for multiple purposes. This includes clinical decision support for individualised care planning, quality improvement and monitoring measures that can be used to benchmark quality indicators across populations and a case mix system known as resource utilisation groups (RUGs) which gathers individuals into categories reflecting the relative costs of services and supports they are likely to use.



8. The integrated suite of comprehensive clinical assessment instruments includes the following:

<p><b>Home Care*</b></p> <p><b>Community Health Assessment*</b></p> <ul style="list-style-type: none"> <li>• Assisted Living supplement</li> <li>• Functional supplement</li> <li>• Mental Health supplement</li> <li>• Deafblind supplement</li> </ul> <p><b>+ Contact Assessment*</b></p> <p><b>Long Term Care Facility*</b></p> <p><b>Palliative Care</b></p> <ul style="list-style-type: none"> <li>• Inpatient</li> <li>• Community</li> </ul> <p><b>Intellectual Disability</b></p>	<p><b>Acute Care</b></p> <ul style="list-style-type: none"> <li>• Post-Acute Care-Rehabilitation</li> <li>• + Emergency Department Screener</li> </ul> <p><b>Mental Health</b></p> <ul style="list-style-type: none"> <li>• Inpatient</li> <li>• Community</li> <li>• Emergency Screener</li> <li>• Forensic Supplement</li> <li>• Prisons</li> <li>• Brief Mental Health Screener</li> </ul> <p><b>Subjective Quality of Life</b></p> <ul style="list-style-type: none"> <li>• Home and Community Care</li> <li>• Long term Care</li> <li>• Mental Health</li> </ul> <p><b>+ = Screener      * used in New Zealand</b></p>
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9. Since 2007, the Ministry of Health (MoH) has invested approximately \$40M in the development and implementation of interRAI in older people's services in New Zealand. As a purchaser MoH is looking to see that the introduction of new interRAI assessment tools are not at the expense of the current tools in use in older peoples' services.
10. The interRAI NZ Governance Board is appointed by the Director-General of Health to provide leadership and oversight to interRAI New Zealand (interRAI NZ) to ensure the

continuous improvement of health outcomes for New Zealanders as they age, and the effectiveness and efficiency of the health system by guiding and leading the use of interRAI instruments and the dissemination and use of interRAI information.

11. The Board's Terms of Reference states:

*'The Governance Board is a governance group with the authority to give direction and provide strategic governance for interRAI from a clinical, operational, and consumer perspective. The interRAI Governance Board will take strategic direction from the New Zealand Health Strategy and the Healthy Ageing Strategy.'*

12. The Board has developed 'interRAI NZ – Future Direction' a three-year rolling strategic plan, based on the five strategic themes of the refreshed New Zealand Health Strategy and how interRAI can support the strategy.

<b>All New Zealanders live well, stay well, get well</b> in a system that is <b>people powered</b> , provides services <b>closer to home</b> , is designed for <b>value and high performance</b> and works as <b>one team</b> in a <b>smart system</b> – New Zealand Health Strategy 2016				
<b>People Powered</b>	<b>Closer to Home</b>	<b>Value and High Performance</b>	<b>One Team</b>	<b>Smart System</b>
To continuously improve health outcomes for New Zealanders as they age and the effectiveness and efficiency of our health system by guiding and leading the use of interRAI instruments and the dissemination and use of interRAI information – interRAI vision.				

13. One of the objectives in the interRAI NZ Governance work schedule is to:

*Promote the use of interRAI data and information to shape services and support best outcomes and continued service improvements*

- *New initiatives are identified and investigated for potential investment for example, Palliative Care.*

14. As of 1 July 2015, TAS began receiving annual funding to deliver all aspects of interRAI Services across four key business areas:

- education and support services
- reporting and analytics
- governance
- software services.

15. Any expansion in the use of interRAI assessment instruments requires strategic oversight and management. Any provider or purchaser who wishes to pilot an interRAI tool outside of those currently in use in New Zealand would need to access the national software user license held by MoH in order to 'enliven' the software. In addition, interRAI Services are required to support the implementation and use of a new tool, for example: education

and support, software services, data analysis and reporting.

16. Support for a new interRAI tool would be additional to the range of services currently funded and provided by interRAI Services (TAS). Therefore a costing framework for the provision of education and support and/or data analysis and reporting services in order to pilot a new tool is available from interRAI Services. Assistance will be provided by interRAI Services in the initiation and planning stages of the pilot to scope education, software and data analysis requirements and to ensure there would be enough capacity available to provide the required support.
17. Any conflict of interest for interRAI Services in managing this governance framework for the Board will be declared.
18. Any data gathered during a pilot or when a new tool is introduced will be stored in the national interRAI data warehouse. Data may be reported at aggregated data level as per any data sharing arrangement agreed for the new tool. In accordance with the agreement with the MoH de-identified data will also be shared with interRAI International.
19. No additional funding is available through the Governance Board or from interRAI Services to support either a pilot study or a national rollout. Therefore, consideration must be given to how a pilot and national rollout might be funded, for example through DHBs, ACC or other avenues.

## Guiding Principles for introduction of a new interRAI assessment tool

20. There is alignment with current Health Sector strategies and priorities e.g. NZ Health Strategy, Healthy Ageing Strategy, MoH Strategic Plan, interRAI NZ - Future Direction, interRAI Services annual business plan.
21. Organisations wishing to pilot a new tool will be responsible for funding. No additional funding is available from interRAI Services or MoH.
22. Organisations who are considering developing an assessment tool or who use an assessment tool as part of a research study should inform the interRAI New Zealand Governance Board of their intent.
23. A process detailing how proposals, pilot studies and business cases will be evaluated is available to organisations wishing to pilot a new tool.
24. Proposals should address how the information collected in a pilot will be shared across the pathway of care for example between acute, home and residential care and how the



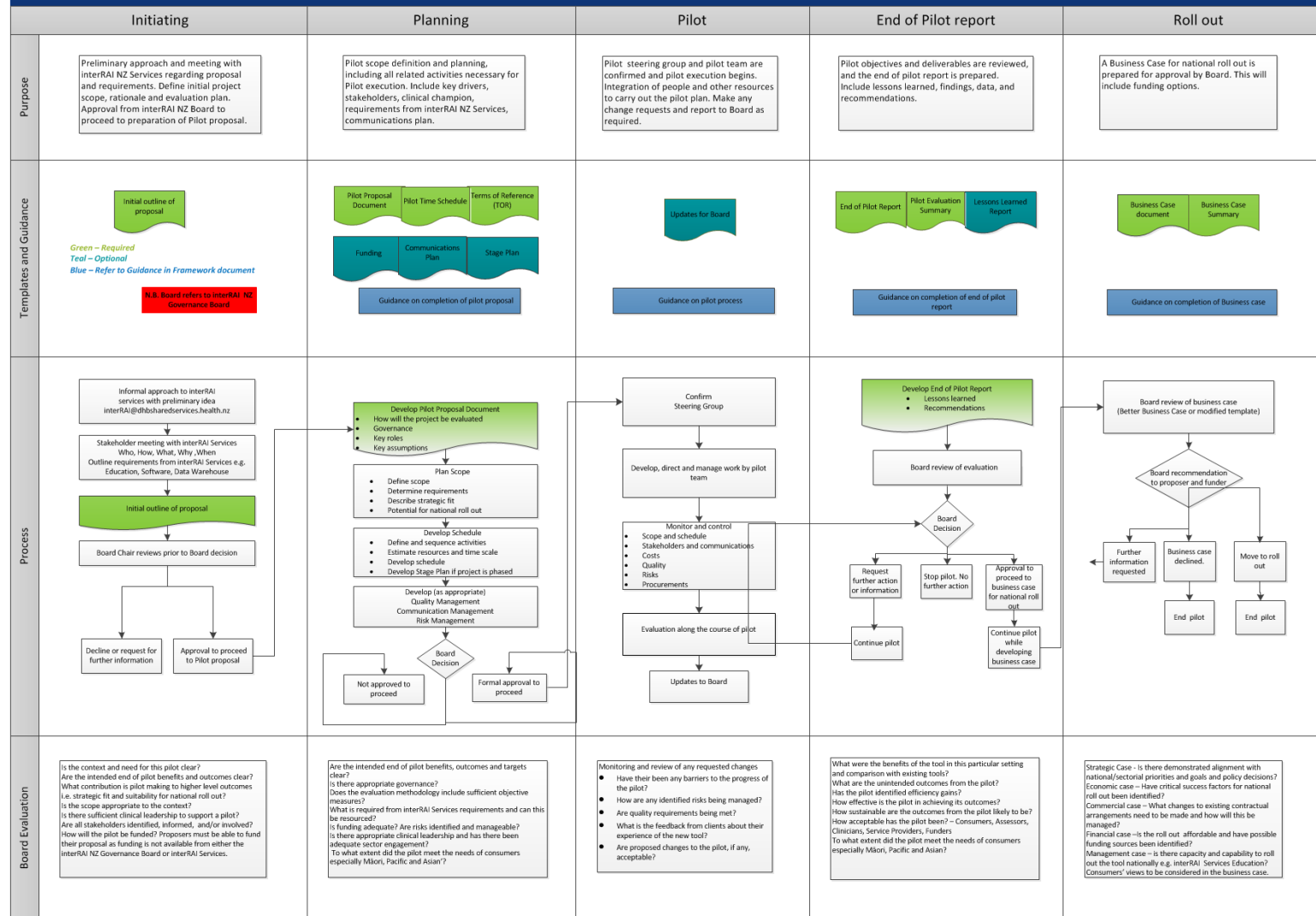
pilot will be included in the national clinical software platform and therefore available across the New Zealand health system.

25. Proposals should address how data from the pilot will be stored, analysed and reported. It is expected that data from all interRAI assessments in New Zealand should be included in the interRAI national data warehouse.
26. There is active consumer involvement and influence in the consideration of any pilot proposals and their evaluation.
27. Consideration is given to the needs of consumers including Māori, Pacific and Asian people in particular.
28. Proposals should meet the requirements of the Health Information Privacy Code 1994, Health Information Security Framework, the Cloud Computing: Information Security and Privacy Considerations and any other provisions to safeguard the privacy, security and confidentiality of people assessed using any interRAI assessment tool.
29. Knowledge gained during the pilot will be shared across the sector, when and as appropriate.

## Ethics

30. Where appropriate consideration by Ministry of Health - Health and Disability Ethics Committees (HDECs) <http://ethics.health.govt.nz> may be required.

## Governance Framework for new interRAI assessment tools



## Roles and Responsibilities

### *interRAI NZ Governance Board*

31. To review proposals for introducing and piloting a new interRAI assessment tool from a strategic, clinical, operational, and consumer perspective.
32. To make decisions, based on transparent review criteria, at each stage of the pilot process about whether to proceed to the next stage.
33. To make recommendations to funders on a business case for national rollout of a new interRAI assessment tool.

### *interRAI Services*

34. To review all documentation submitted by pilot proposers prior to it being submitted to the Board. interRAI Services reserves the right to charge at cost for this work depending on the complexity and time required.
35. To provide education and support, software and data analysis and reporting services as contracted.
36. To provide support to the Board.

### *Pilot proposers*

37. To complete documentation as per the Governance Framework.
38. To undertake pilot study and evaluation as per agreement with the Board.
39. To secure appropriate funding to support the pilot.
40. If approved by the Board, to work with national stakeholders to develop a business case for national rollout.

## Evaluation

41. Evaluative monitoring is expected throughout the course of the pilot. This involves monitoring what progress the pilot is making towards its intended outcomes at each stage of the process and understanding why. It is critical to determine from the outset what questions the pilot is intended to answer and how progress will be tracked along the course of the pilot. This allows changes and adjustments to be made and for these to be reviewed for effectiveness and impact.
42. Each benefit expected from the pilot can be listed and both qualitative and quantitative measures determined.

43. The end of pilot report will contain both an evaluation of the pilot process and achievements, that is - what was done, how it was done, the pilot findings and what difference the pilot made to the health outcomes of clients. Evaluative monitoring also allows challenges to be identified early and tracked. It is useful to create a matrix of evaluation objectives and what planning, monitoring and evaluation activities will be undertaken. See Appendix II for an example of an evaluation matrix.

## *Evaluation Definitions*

44. 'Formative objectives' identify the intended line of sight and contribution between pilot inputs, outputs and outcomes (theory of change) to meet stakeholder goals and requirements.
45. 'Process objectives' examine the progress and challenges related to the pilot, for example relating to the interRAI tool, required education and processes.
46. 'Outcome related objectives' assess the extent of pilot outputs and outcomes / impacts and assess the performance of the pilot (including the effectiveness, efficiency and sustainability of the pilot results).
47. 'Lessons learned' identify lessons learned to inform ongoing and future decision making.

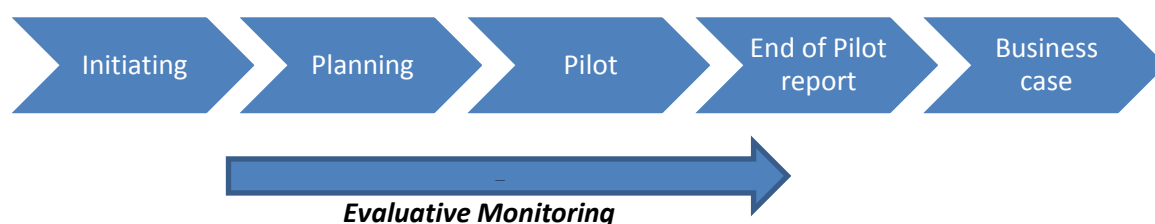
## *Lessons learned from previous pilots*

48. Valuable lessons have been learned by interRAI Services and the sector from the previous pilots and rollouts of the Home Care and Long Term Care Facilities tools.
49. Lessons learned to date include:
- a. Ensure a single assessment process is used, that is, discard previously used assessment systems as these result in duplication and frustration for staff. It may be useful to compare the two processes to identify gaps and determine a solution.
  - b. Provide education and support for the use of assessors, the new tool to managers and assessors, for example, Home and Community Support providers, Aged Residential Care managers to ensure they understand the information they will receive and how to use it for care planning and support for clients.
  - c. A formal software user group may be useful for larger projects to support the software service to identify and prioritise changes to the software that maybe required to support the introduction of a new assessment tool.
  - d. Development of national processes with a view to rollout provides an opportunity to align processes across the sector and create consistent practice.

## Process for organisations wishing to introduce a new interRAI assessment tool

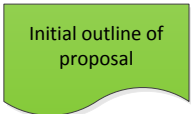
50. This section includes guidance and templates for organisations wishing to pilot a new interRAI tool along with advice on how the Governance Board will review proposals at each stage of the process. Evaluation is undertaken at each step along the process. There is clear understanding from the outset on what key questions the pilot is going to answer.

Note: The framework templates are available from interRAI Services please email [interRAI@dhbsharedservices.health.nz](mailto:interRAI@dhbsharedservices.health.nz)



### Initiating

51. The purpose of the initiating phase is to define the initial scope and rationale for a pilot, explain strategic fit and ensure goals are clear. In the first instance an informal approach should be made to interRAI Services with the preliminary idea for introducing a new tool. This is an opportunity to discuss the feasibility of the project and the provision of services required to support a pilot e.g. education and software. The outline is then completed and submitted to interRAI Services who will seek a decision from the Board on whether the proposal can proceed to the pilot planning phase. Proposers will be advised by the General Manager interRAI Services, of the Board's decision.

Template	Purpose
<b>Initial outline of proposal (required)</b> 	<p>The outline describes the rationale for considering a new tool by establishing a pilot study.</p> <p>It establishes:</p> <ul style="list-style-type: none"><li>the purpose of the project including which interRAI assessment tool is to be piloted, the context and the need for a new tool to be introduced</li><li>the expected outcomes from the pilot and the strategic fit for possible national rollout</li><li>the scope of the pilot including the organisations involved, including sector and consumer group/s</li></ul>

Template	Purpose
	<ul style="list-style-type: none"> <li>• who the sponsor and clinical leads are</li> <li>• the degree of sector engagement to be undertaken and expected impact should the pilot proceed to national rollout</li> <li>• how the pilot will be funded</li> <li>• what services and support are expected to be required from interRAI Services</li> <li>• how evaluation will be incorporated at each stage of the pilot ('tracking as you go').</li> </ul>

### *Board review*

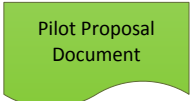
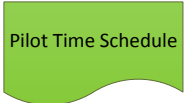
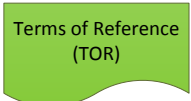
The Board will review the initial outline of the proposal according to the following criteria



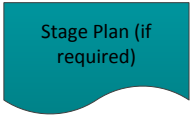
- Is the context and need for this pilot clear?
- Are the expected end of pilot benefits and outcomes clear?
- What contribution is the pilot making to higher level outcomes, for example, strategic fit and suitability for national roll out?
- Is the scope appropriate to the context?
- Is there sufficient clinical leadership to support a pilot?
- Are all stakeholders and consumers identified, informed and/or involved?
- How will the pilot be funded?

### *Planning*

52. The purpose of the planning phase is to further scope definition and detailed planning, including all related activities necessary for pilot execution.

Template	Purpose
<b>Pilot Proposal Document (required)</b>	The Pilot Proposal Document (PPD) sets the foundation for the work to follow. It describes in more detail the scope, schedule, risks, budget and quality expectations. While all sections should

Template	Purpose
	<p>be completed, the level of detail required will vary depending on the size of the project.</p> <p>The PPD establishes:</p> <ul style="list-style-type: none"> <li>• an overview of the pilot, purpose and strategic fit</li> <li>• scope and duration</li> <li>• pilot background</li> <li>• pilot approach</li> <li>• clinical leadership and stakeholders</li> <li>• requirements from interRAI Services</li> <li>• how the pilot will be evaluated throughout the course of the pilot</li> <li>• consideration of potential for national rollout</li> <li>• communication strategy, sector and consumer engagement</li> <li>• planning assumptions, as well as dependencies and constraints</li> <li>• ethical considerations</li> <li>• pilot schedule</li> <li>• reporting</li> <li>• funding</li> <li>• governance and management of the pilot</li> <li>• quality</li> <li>• risk and issue management</li> <li>• change management</li> <li>• lessons incorporated from previous pilots.</li> </ul>
<p><b>Pilot time schedule (required)</b></p> 	<p>The purpose of the pilot time schedule is to communicate what work needs to be performed, the timeframe and resource requirements. It can also be a useful tool for estimating costs.</p>
<p><b>Terms of Reference – Steering group (required)</b></p> 	<p>The purpose of the Terms of Reference (ToR) document is to establish clarity around accountabilities, responsibilities, authority levels, reporting procedures and communication lines.</p> <p>The ToR document establishes:</p> <ul style="list-style-type: none"> <li>• the title and purpose of the group</li> <li>• the group’s accountability and governance</li> <li>• objectives of the group and deliverables</li> <li>• membership of the group – name, position, organisation</li> <li>• how decisions will be recorded</li> <li>• frequency of meetings</li> </ul>

Template	Purpose
	<ul style="list-style-type: none"> <li>• papers including agendas</li> <li>• reporting to the group.</li> </ul> <p>The ToR must be signed off by the relevant group (usually done by the Chair).</p>
<b>Funding (mandatory)</b> 	<p>The purpose of the funding spreadsheet is to provide a structure for developing the pilot budget. Each cost item should be considered to ensure that all project costs are captured. A summary of the pilot budget is to be included in the PPD. A progress report against budget should be included in the regular status reports to the sponsor.</p>
<b>Communications Plan (mandatory)</b> 	<p>The purpose of the communications plan is to identify and manage relationships with stakeholders who have an interest in the pilot and the leadership required to influence and motivate others. The communications plan contains a description of the means and frequency of communication to internal and external stakeholders. A summary of the pilot communications plan is to be included in the PPD.</p> <p>The communications plan describes:</p> <ul style="list-style-type: none"> <li>• communications challenges</li> <li>• communications approach</li> <li>• risk analysis</li> <li>• evaluation</li> <li>• identify key stakeholders and their level of involvement and or interest in the pilot</li> <li>• key messages</li> <li>• information and feedback loop</li> <li>• communication activity planning</li> <li>• stakeholder map</li> <li>• consumers.</li> </ul>
<b>Stage plan (optional)</b> 	<p>The stage plan may be required for larger, more complex projects and is a separate document used to plan a work stream, major deliverable or stage of a pilot.</p> <p>The purpose of the document is to describe the deliverables, prerequisites, dependencies, assumptions, and budget and how the stage will be monitored and controlled. The schedule for the stage plan should be included in the overall project schedule.</p>



## *Results model*

53. The results model, presented as a case example below, is a tool that is useful in planning a pilot project. It captures what the pilot is trying to achieve, that is, the intended change pathway (theory of change). The model provides a visual map which links the resources (inputs) and activities to the intended outputs (products, goods and services that result from the introduction of a new tool) that contribute to a pilot and result in the project's expected outcomes (positive and negative, primary and secondary effects or changes from the pilot). This is framed within the overall context of wider health outcomes for consumers and links to national strategies.
54. A template is available from interRAI Services.

## *Presentation to the Board*

55. Once the pilot proposal document has been reviewed by interRAI Services, the pilot team will be invited to give a presentation to the Board. This should include:
- a. a brief summary of the purpose of the pilot
  - b. scope
  - c. sponsorship, stakeholders and clinical leadership
  - d. intended benefits and evaluation methodology
  - e. requirements from interRAI Services
  - f. funding

## *Board review*

The Board will review the pilot proposal document according to the following criteria:

- Are the intended end of pilot benefits, outcomes and targets clear?
- Is there appropriate governance?
- Does the evaluation methodology include sufficient objective measures?
- What is required from interRAI Services and can this be resourced?
- Is funding adequate? Are risks identified and manageable?
- Does the proposal address how the information collected in a pilot will be shared across the New Zealand pathway of care? and how the pilot will be included in the national clinical software platform?
- Does the proposal address how data from the pilot will be stored, analysed and reported and will the data from the pilot be included in the interRAI national data warehouse.
- Is there appropriate clinical leadership and has there been adequate sector engagement and communication?
- Has consideration been given to the needs of consumers and Māori, Pacific and Asian people in particular?
- Does the proposal meet the requirements of the Health Information Privacy Code 1994, Health Information Security Framework, the Cloud Computing: Information Security and Privacy Considerations and any other provisions to safeguard the privacy, security and confidentiality of people assessed using any interRAI assessment tool.



Version 1 –  
month/year

## Results model example

### Vision

Older New Zealanders live well and age well in age-friendly communities, supported by a system oriented towards: healthy ageing, high quality acute and restorative care, living well with health conditions, better support for people with high and complex conditions and respectful end of life. (NZ HOP Strategy 2016 – draft)

Introduction of  
interRAI [name]  
tool

### Key:

Out of initial scope

Key project  
outcomes

Guidance

### National Health Outcomes

Link with national  
strategies

People powered

Closer to home

One team

Smart system

Value and high  
performance

### Indirect

Indirect outcomes

Improved care and  
health outcomes  
for older people

Information driven care  
practice, planning and  
policy (Operational)

Better fit for  
purpose tool for  
specific sector  
groups

Increased use of  
interRAI  
information by  
clinicians

Improved IT  
capability of the  
sector

Wider  
context

### Direct

### Project Outcomes

Changes produced  
by introduction of  
new tool

Education materials  
developed

Processes  
developed to  
support assessment  
practice

Better fit for  
purpose  
assessment tool

Evaluation  
undertaken

Business case for  
national roll out

### Outputs

Products and  
services resulting  
from activities

Steering group  
established

Assessors trained

Assessments  
undertaken

End users trained

Data analysis

Increased use of  
interRAI across the  
continuum of care

### Activities

Activities to be  
undertaken

Pilot initiation  
submitted

Pilot proposal  
submitted

interRAI  
customisation to  
New Zealand

Education  
provided to  
Assessors

Pilot undertaken  
and evaluated

Business case  
for national  
roll out

Policy (Assessment  
Practice of older  
people)

### Inputs

Who is  
involved?

Older Adults

Family/  
caregivers

Health  
clinicians/  
Assessors

interRAI NZ  
Governance  
Board


interRAI Services

Stakeholder  
groups e.g.  
DHBs/ACC

MOH

## Pilot

56. At the beginning of this phase the steering group and pilot team are confirmed and the pilot study begins as detailed in the pilot schedule. People and resources are dedicated to carry out the pilot plan.

Template	Purpose
<b>Updates for Board (required)</b> 	<p>The Board requires regular updates on the progress of the pilot.</p> <p>The update will include:</p> <ul style="list-style-type: none"><li>• progress against schedule</li><li>• key issues and risks</li><li>• achievements to date</li><li>• planned activities for next period</li><li>• internal and external dependencies</li><li>• communication</li><li>• any evaluation undertaken to date</li><li>• requests to make changes to the pilot proposal document</li><li>• decision(s) required from the Board.</li></ul>



### Board Review

During this stage the Board's role is to monitor the pilot's progress in relation to milestones, risk and quality, and to make decisions on any requested changes. The following criteria will be considered:

- Have there been any barriers to the progress of the pilot?
- How are identified risks being managed?
- Are quality requirements being met?
- Is the pilot acceptable to consumers?
- Are proposed changes to the pilot, if any, acceptable/appropriate?

## Evaluation

57. During ongoing evaluation, information on the pilot's objectives and deliverables are gathered as documented in the evaluation methodology in the Pilot Proposal Document. The pilot evaluation summary provides evidence for each of the review criteria used by the Board.

Template	Purpose
<b>End of Pilot report (required)</b>  	The end of pilot report will include: <ul style="list-style-type: none"> <li>• executive summary</li> <li>• evaluation of pilot processes including achievements and challenges</li> <li>• pilot findings</li> <li>• lessons learned and recommendations</li> <li>• activities required to proceed to business case for potential national roll out</li> <li>• Results model template</li> <li>• pilot evaluation summary.</li> </ul>
<b>Lessons Learned Report (optional)</b>  	The purpose of the lessons learned report is to capture lessons learned and make recommendations for similar future pilots so that success can be replicated and problems and failures avoided.

58. A decision will be made by the Board following review of the End of Pilot report whether the pilot is closed or continues while either further information or action is provided, or while a business case is developed and a decision made regarding national rollout.

59. Approval may be subject to:

- a. Satisfactory arrangements made with interRAI Services.
- b. Secured funding and change management.

### *Board Review*

The Board will review the pilot evaluation according to the following criteria and against the pilot evaluation summary for relevance, efficiency, effectiveness, impact, sustainability, value for money, quality and safety of care, health and equity.

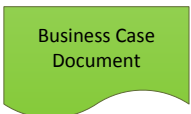
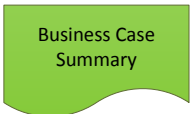
- What were the benefits of the tool in this particular setting and comparison with existing tools?
- What are the unintended outcomes from the pilot?
- Has the pilot identified efficiency gains?
- How effective is the pilot in achieving its outcomes?
- How sustainable are the outcomes from the pilot likely to be?

- How acceptable has the pilot been? – For example, for consumers, assessors, clinicians, service providers, funders?
- To what extent did pilot result in health outcome improvements for people especially Māori, Pacific and Asian?

### *Business case (for national roll out)*

60. The business case template provides a five case structure (based on Treasury's Better Business Case guidance) designed to systematically ascertain that each proposal for investment in the national rollout of a new interRAI assessment tool:

- is supported by a compelling case for change – the 'strategic case'
- optimised value for money – the 'economic case'
- is commercial viability – the 'commercial case'
- is financially affordable – the 'financial case'
- is achievable – the 'management case'.

Template	Purpose
<b>Business Case Document (required)</b>  	<p>The key purposes of the business case are to:</p> <ul style="list-style-type: none"> <li>• confirm the strategic context for the roll out and how the proposed investment fits within that strategic context</li> <li>• confirm the need to invest and the case for change</li> <li>• identify a range of potential options</li> <li>• determine the preferred option which optimises value for money in relation to costs, benefits and risks</li> <li>• determine what services will need to be purchased and the plan for doing so</li> <li>• plan the necessary funding and management arrangements for the successful delivery of the rollout</li> <li>• inform a proposal to the Board in order for recommendations to be made to funders</li> <li>• finalise arrangements for implementation of the national rollout</li> <li>• include evaluation/track as you go of rollout.</li> </ul>
<b>Business Case Summary Template (required)</b>  	<p>This template summarises the five case structure which will be used to review the business case against the framework.</p>

## *Board Review*

The Board's role in reviewing a business case for national roll out is to make a recommendation to funders in relation to the five case model. The following criteria will be used:

**Strategic case** - Is there demonstrated alignment with national/sectorial priorities and goals and policy decisions?

**Economic case** – Have critical success factors for national rollout been identified?

**Commercial case** – What changes to existing contractual arrangements need to be made and how will this be managed?

**Financial case** – Is the rollout affordable and have possible funding sources been identified?

**Management case** – is there capacity and capability to roll out the tool nationally for example. interRAI Services education and support required?

**Consumer aspects** – will the roll out be acceptable to consumers assessors, clinicians, service providers, funders?

**Benefits realisation** – does the business case describe the potential to realise maximum benefits from the roll out?

## Appendix I

Visio Results Model template available from interRAI Services.

## Appendix II

Example of an Evaluation Matrix

## References

- interRAI Data Access Protocols (TAS, March 2016)
  - interRAI New Zealand Governance Board Papers
  - interRAI New Zealand – Future Direction 2016-2019
  - interRAI Services Business Plan 2016-17
  - interRAI Software Service confidentiality protocol
  - New Zealand Health Strategy – Future Direction (Ministry of Health, April 2016)
  - Revised Health of Older Persons' Strategy (Ministry of Health, June 2016 – currently still in draft)
  - TAS – Project Management Office
  - Treasury - Better Business Cases
- <http://www.treasury.govt.nz/statesector/investmentmanagement/plan/bbc>

## Consultation

The following consultation has been undertaken in preparation of this document:

- Evaluation Consult
- interRAI NZ Governance Board members
- interRAI Services Management Team
- interRAI Services staff
- Ministry of Health, Service Commissioning
- Palliative Care Pilot Lead
- ACC and Waikato DHBs



## Appendix II Example of an Evaluation Matrix

Evaluation Objective	Information objectives	Planning, Monitoring and Evaluation Activities					
		Proposal one page outline	Pilot proposal document	Pilot updates to Board	End of Pilot report (include "tracking")	Board review of Pilot	Business case document
<b>Formative objective:</b> To identify the intended line of sight and contribution between pilot inputs, outputs and outcomes (theory of change) to meet stakeholder goals and requirements.	Context and need identification and analysis	✓			✓		
	Theory of change (planned inputs, outputs and outcomes) and assumptions underpinning theory of change	✓	✓		✓		
	Intended end of pilot benefits and evaluation methodology	✓	✓	✓	✓		
	Strategic fit with national health strategies and interRAI NZ – Future Directions	✓	✓		✓	✓	✓
<b>Process objective:</b> To examine the progress and challenges related to the pilot e.g. interRAI tool, Education, processes	What pilot activities have been undertaken?			✓	✓		
	How is the tool being used?			✓	✓	✓	
	How well are the pilot's implementing arrangements working?			✓	✓	✓	
<b>Outcome related objective:</b> To assess the extent of pilot outputs and outcomes / impacts and assess the performance of the pilot (including the effectiveness, efficiency and sustainability of the pilot results)	To what extent were the planned outcomes relevant to the context? ( <i>benefits of the tool in the particular setting</i> )				✓	✓	
	What progress is being made towards the intended pilot outputs and outcomes?				✓	✓	
	What are the unintended outcomes from the pilot?				✓	✓	
	How efficient are the pilot activities in contributing to intended outputs and outcomes?				✓	✓	✓
	How effective is the programme in achieving the pilot outcomes?				✓	✓	✓
	How sustainable are the outcomes from the pilot likely to be?				✓	✓	✓
	What contribution is the pilot making to the higher level outcomes i.e. suitability for national roll out?				✓	✓	✓
<b>Lessons learned</b> To identify lessons learned to inform ongoing and future decision making	What are the lessons learned for stakeholders from activities, processes and results?				✓	✓	✓
	What are the lessons learned for consumers and Maori, Pacific and Asian people, in particular?					✓	✓

# Governance Framework for new interRAI assessment tools

	Initiating	Planning	Pilot	End of Pilot report	Roll out
Purpose	Preliminary approach and meeting with interRAI NZ Services regarding proposal and requirements. Define initial project scope, rationale and evaluation plan. Approval from interRAI NZ Board to proceed to preparation of Pilot proposal.	Pilot scope definition and planning, including all related activities necessary for Pilot execution. Include key drivers, stakeholders, clinical champion, requirements from interRAI NZ Services, communications plan.	Pilot steering group and pilot team are confirmed and pilot execution begins. Integration of people and other resources to carry out the pilot plan. Make any change requests and report to Board as required.	Pilot objectives and deliverables are reviewed, and the end of pilot report is prepared. Include lessons learned, findings, data, and recommendations.	A Business Case for national roll out is prepared for approval by Board. This will include funding options.
Templates and Guidance	<div>Initial outline of proposal</div> <p><i>Green – Required</i> <i>Teal – Optional</i> <i>Blue – Refer to Guidance in Framework document</i></p> <p><b>N.B. Board refers to interRAI NZ Governance Board</b></p>	<div>Pilot Proposal Document</div> <div>Pilot Time Schedule</div> <div>Terms of Reference (TOR)</div> <div>Funding</div> <div>Communications Plan</div> <div>Stage Plan</div> <p>Guidance on completion of pilot proposal</p>	<div>Updates for Board</div> <p>Guidance on pilot process</p>	<div>End of Pilot Report</div> <div>Pilot Evaluation Summary</div> <div>Lessons Learned Report</div> <p>Guidance on completion of end of pilot report</p>	<div>Business Case document</div> <div>Business Case Summary</div> <p>Guidance on completion of Business case</p>
Process	<pre> graph TD     A[Informal approach to interRAI services with preliminary idea interRAI@dhbsharedservices.health.nz] --&gt; B[Stakeholder meeting with interRAI Services Who, How, What, Why, When Outline requirements from interRAI Services e.g. Education, Software, Data Warehouse]     B --&gt; C[Initial outline of proposal]     C --&gt; D[Board Chair reviews prior to Board decision]     D --&gt; E{ }     E --&gt; F[Decline or request for further information]     E --&gt; G[Approval to proceed to Pilot proposal]                     </pre>	<pre> graph TD     A[Develop Pilot Proposal Document • How will the project be evaluated • Governance • Key roles • Key assumptions] --&gt; B[Plan Scope • Define scope • Determine requirements • Describe strategic fit • Potential for national roll out]     B --&gt; C[Develop Schedule • Define and sequence activities • Estimate resources and time scale • Develop schedule • Develop Stage Plan if project is phased]     C --&gt; D[Develop as appropriate Quality Management Communication Management Risk Management]     D --&gt; E{Board Decision}     E --&gt; F[Not approved to proceed]     E --&gt; G[Formal approval to proceed]                     </pre>	<pre> graph TD     A[Confirm Steering Group] --&gt; B[Develop, direct and manage work by pilot team]     B --&gt; C[Monitor and control • Scope and schedule • Stakeholders and communications • Costs • Quality • Risks • Procurements]     C --&gt; D[Evaluation along the course of pilot]     D --&gt; E[Updates to Board]                     </pre>	<pre> graph TD     A[Develop End of Pilot Report • Lessons learned • Recommendations] --&gt; B[Board review of evaluation]     B --&gt; C{Board Decision}     C --&gt; D[Request further action or information]     C --&gt; E[Stop pilot. No further action]     C --&gt; F[Approval to proceed to business case for national roll out]     D --&gt; G[Continue pilot]     F --&gt; H[Continue pilot while developing business case]                     </pre>	<pre> graph TD     A[Board review of business case (Better Business Case or modified template)] --&gt; B{Board recommendation to proposer and funder}     B --&gt; C[Further information requested]     B --&gt; D[Business case declined.]     B --&gt; E[Move to roll out]     C --&gt; A     D --&gt; F[End pilot]     E --&gt; G[End pilot]                     </pre>
Board Evaluation	<p>Is the context and need for this pilot clear?</p> <p>Are the intended end of pilot benefits and outcomes clear?</p> <p>What contribution is pilot making to higher level outcomes i.e. strategic fit and suitability for national roll out?</p> <p>Is the scope appropriate to the context?</p> <p>Is there sufficient clinical leadership to support a pilot?</p> <p>Are all stakeholders identified, informed, and/or involved?</p> <p>How will the pilot be funded? Proposers must be able to fund their proposal as funding is not available from either the interRAI NZ Governance Board or interRAI Services.</p>	<p>Are the intended end of pilot benefits, outcomes and targets clear?</p> <p>Is there appropriate governance?</p> <p>Does the evaluation methodology include sufficient objective measures?</p> <p>What is required from interRAI Services requirements and can this be resourced?</p> <p>Is funding adequate? Are risks identified and manageable?</p> <p>Is there appropriate clinical leadership and has there been adequate sector engagement?</p> <p>To what extent did the pilot meet the needs of consumers especially Māori, Pacific and Asian'?</p>	<p>Monitoring and review of any requested changes</p> <ul style="list-style-type: none"> <li>Have their been any barriers to the progress of the pilot?</li> <li>How are any identified risks being managed?</li> <li>Are quality requirements being met?</li> <li>What is the feedback from clients about their experience of the new tool?</li> <li>Are proposed changes to the pilot, if any, acceptable?</li> </ul>	<p>What were the benefits of the tool in this particular setting and comparison with existing tools?</p> <p>What are the unintended outcomes from the pilot?</p> <p>Has the pilot identified efficiency gains?</p> <p>How effective is the pilot in achieving its outcomes?</p> <p>How sustainable are the outcomes from the pilot likely to be?</p> <p>How acceptable has the pilot been? – Consumers, Assessors, Clinicians, Service Providers, Funders</p> <p>To what extent did the pilot meet the needs of consumers especially Māori, Pacific and Asian?</p>	<p>Strategic Case - Is there demonstrated alignment with national/sectorial priorities and goals and policy decisions?</p> <p>Economic case – Have critical success factors for national roll out been identified?</p> <p>Commercial case – What changes to existing contractual arrangements need to be made and how will this be managed?</p> <p>Financial case –Is the roll out affordable and have possible funding sources been identified?</p> <p>Management case – is there capacity and capability to roll out the tool nationally e.g. interRAI Services Education?</p> <p>Consumers' views to be considered in the business case.</p>