

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

**interRAI New Zealand
Governance Board**

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Glossary

AC	Acute Care.
ACC	Accident Compensation Corporation.
Activities	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'.
Relias	eTraining support for interRAI online education.
ARC	Aged Residential Care.
CAPS	Clinical Assessment Protocols. Risk issues triggered by the data input into the system. These help identify possible interventions.
CCA	Comprehensive Clinical Assessment.
Contribution	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).
DHB	District Health Board – there are 20 DHBs within New Zealand grouped regionally.
HOP	Health of Older People.
Impacts	The positive and negative changes produced by an organisation/programme/project both direct, indirect, intended and unintended.
interRAI	International resident assessment instrument. interRAI refers to both the international organisation (www.interrai.org) 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.
National interRAI data warehouse	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.
interRAI Governance Board	The coordination and governing body for interRAI processes within New Zealand. Secretariat support is provided by Central TAS.
interRAI Services New Zealand	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.
LTCF Assessment	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. ¹ The LTCF Assessment is the primary assessment tool for ARC facilities and makes up a part of the interRAI Comprehensive Clinical Assessment (CCA).

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

Momentum	Canadian software company that has developed the interRAI software package and single software platform being used in New Zealand.
NGO	Non-Government Organisation.
NiSS	National interRAI Software Service. A National platform to support the integrated suite of interRAI assessments.
Outcomes	Positive and negative, primary and secondary effects (changes) produced by an intervention, directly or indirectly, intended or unintended. <i>NOTE: Outcomes and Impacts can be used interchangeably, but in general Outcomes often refer to the intended changes, and Impacts refers to all changes that occur (such as positive or negative unintended changes).</i>
Outputs	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.
Result	An output, outcome or impact. I.e., the 'result' of 'doing' something (such as an activity).
Results Model	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).
RN	Registered Nurse
Sustainability	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.
Theory of Change	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

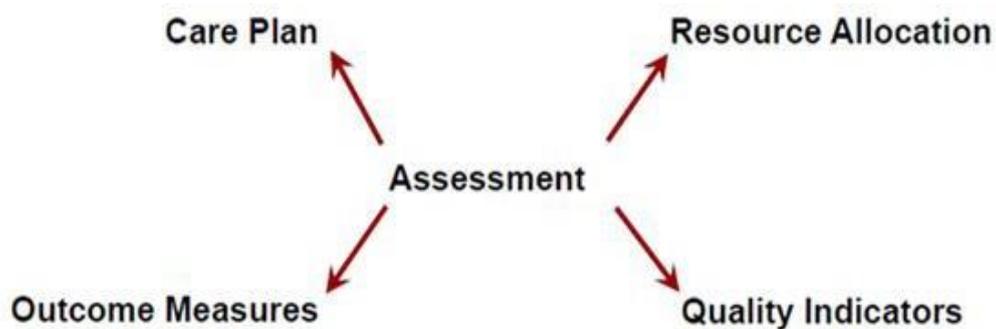
1. This interRAI governance framework provides guidance for organisations seeking approval from the interRAI New Zealand Governance Board (the Board) to test an interRAI assessment tool not already in use in New Zealand.
2. Included in this document are protocols, procedures and templates to assist organisations to:
 - a. Develop a proposal to introduce an interRAI assessment tool.
 - b. Undertake a best practice evaluation of an interRAI assessment tool.
 - c. Develop a business case to 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 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 and again in January 2020.

Scope

5. The scope of the interRAI NZ Governance Framework covers all requests by any provider or purchaser to introduce 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>Home Care*</p> <p>Community Health Assessment*</p> <ul style="list-style-type: none"> • Assisted Living supplement • Functional supplement • Mental Health supplement • Deafblind supplement <p>+ Contact Assessment*</p> <p>Long Term Care Facility*</p> <p>Palliative Care*</p> <ul style="list-style-type: none"> • Inpatient • Community <p>Intellectual Disability</p> <p>Check-Up +</p>	<p>Acute Care</p> <ul style="list-style-type: none"> • Post-Acute Care-Rehabilitation • + Emergency Department Screener <p>Mental Health</p> <ul style="list-style-type: none"> • Inpatient • Community • Emergency Screener • Forensic Supplement • Prisons • Brief Mental Health Screener <p>Subjective Quality of Life</p> <ul style="list-style-type: none"> • Home and Community Care • Long term Care • Mental Health <p>+ = Screener * used in New Zealand</p>
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As a purchaser the Ministry of Health (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.

9. 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.

10. 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 Health of Older Persons Strategy.'

11. 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.



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

interRAI tools support shared learning and promote knowledge and innovation to deliver better outcomes

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

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

- a. education and support services
- b. reporting and analytics

- c. governance
 - d. software services.
14. Any expansion in the use of interRAI assessment instruments requires strategic oversight and management. Any provider or purchaser who wishes to introduce 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.
 15. 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 introduce 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.
 16. Any conflict of interest for interRAI Services in managing this governance framework for the Board will be declared.
 17. Any data gathered 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.
 18. No additional funding is available through the Governance Board or from interRAI Services to support either a study or a national rollout. Therefore, consideration must be given to how a study and national rollout might be funded, for example through DHBs, ACC or other avenues.

Guiding Principles for introduction of a new interRAI assessment tool

19. There is alignment with current Health Sector strategies and priorities e.g. NZ Health Strategy, Health of Older Persons Strategy, MoH Strategic Plan, interRAI NZ - Future Direction, interRAI Services annual business plan.
20. Organisations wishing to introduce a new tool will be responsible for funding. No additional funding is available from interRAI Services or MoH.
21. 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.
22. Proposals should address how the information collected in a study will be shared across the pathway of care for example between acute, home and residential care and how the study will be included in the national clinical software platform and therefore available across the New Zealand health system.
23. Proposals should address how data from the study 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.
24. There is active consumer involvement and influence in the consideration of any pilot proposals and their evaluation.
25. Consideration is given to the needs of consumers including Māori, Pacific and Asian people in particular.
26. 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.
27. A process detailing how proposals, studies and business cases will be evaluated is available to organisations wishing to introduce a new tool.
28. Knowledge gained during the study will be shared across the sector, when and as appropriate.

Ethics

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

Roles and Responsibilities

interRAI NZ Governance Board

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

interRAI Services

33. To review all documentation submitted by 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.
34. To provide education and support, software and data analysis and reporting services as contracted.
35. To provide support to the Board.

Pilot proposers

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

Evaluation

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

42. The evaluation summary will contain both an evaluation of the study process and achievements, that is - what was done, how it was done, the key findings and what difference the study made to the health outcomes of clients.

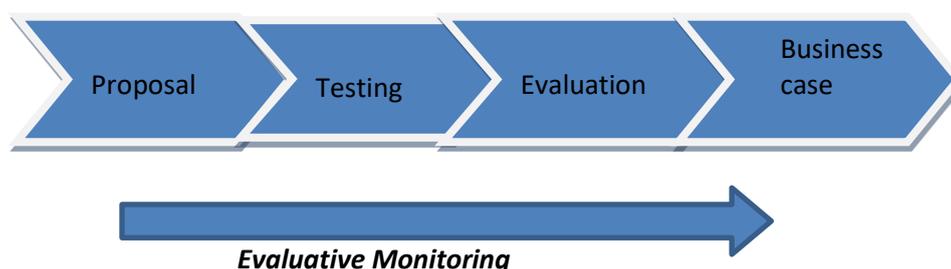
Lessons learned from previous pilots

43. Valuable lessons have been learned by interRAI Services and the sector from the previous pilots and rollouts of the Home Care, Long-Term Care Facilities and Palliative Care tools.
44. 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. Ensure there is comprehensive education and support for assessors and managers who are using the new tool so they understand 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.
 - e. The potential utility for resource allocation and case mix.

Process for organisations wanting to introduce a new interRAI assessment tool

45. This section includes guidance and templates for organisations who want to introduce 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 study is going to answer.

Note: The framework templates are available from interRAI Services. Please email interRAI@tas.health.nz for copies of these document templates.



Proposal

46. The purpose of the proposal is to define the initial scope and rationale for introduction of a new assessment, 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 study 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 testing phase.

Template	Purpose
Initial outline of proposal (required) 	The outline describes the rationale for considering a new tool by establishing a study. It establishes: <ul style="list-style-type: none"> 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 the expected outcomes from the test/introduction the scope of the study including the organisations, sector and consumer group/s taking part who the sponsor and clinical leads are

Template	Purpose
	<ul style="list-style-type: none"> what services and support are expected to be required from interRAI Services

Board review

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

- Is the context and need for this assessment clear?
- Is this assessment fit for purpose?
- Are the benefits and outcomes clear?
- Is the scope appropriate to the context?
- Have the key stakeholders and consumers been identified, informed and involved?
- To what extent has the proposal considered the needs of consumers, especially Māori, Pasifika and Asian?
- To what extent has the proposal identified potential for improved health and equity for all populations?
- Has the storage and processing of data been reviewed to assess the security and/or privacy of the information?
- Is there alignment with the guiding principles of the NZ Digital Health Strategy?

Testing or trialing

47. The purpose of the testing phase is to develop a detailed plan, including all related activities necessary for the study to follow.

Template	Purpose
Testing schedule (required) 	<p>The testing schedule sets the foundation for the work to follow. It includes the timeframe, resource requirements and metrics for how testing will be evaluated. It can also be a useful tool for estimating costs.</p> <p>The level of detail required will vary depending on the size of the project.</p>
	<p>The testing schedule establishes:</p> <ul style="list-style-type: none"> • an overview of the study, purpose and strategic fit • scope and duration • approach

	<ul style="list-style-type: none"> • clinical leadership and stakeholders • how interRAI Services will be involved • how the assessment will be evaluated throughout the course of the study • consideration of potential for national rollout • planning assumptions, as well as dependencies and constraints • ethical considerations • risk and issue management • change management • lessons incorporated from previous pilots.
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Update to the Board

48. The purpose of this document is to provide the Board with an update on the progress of the study.

Template	Purpose
<p>Updates for Board (required)</p> 	<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"> • progress against schedule • key issues, risks and gaps • achievements to date • planned activities for next period • internal and external dependencies • communication • any evaluation undertaken to date • requests to make changes to the study • decision(s) required from the Board.

Board Review

At this stage the Board's role is to monitor the study'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 study?
- How are identified risks being managed?
- Are quality requirements being met?
- Does the evaluation methodology include sufficient objective measures?
- Is the assessment acceptable to consumers including Māori, Pasifika and Asian?
- Are proposed changes to the study, if any, acceptable/appropriate?
- Are the anticipated improvements to health and equity for all populations becoming evident?
- Are data governance practices in line with the International Organization for Standardization (ISO) and International Electrotechnical Commission (IEC) Governance of Data standards?

Evaluation summary

49. During ongoing evaluation, information on the study's objectives and deliverables are gathered as documented in the evaluation methodology in the testing schedule. The evaluation summary provides evidence for each of the review criteria used by the Board.

Template	Purpose
Evaluation summary (required) 	The evaluation summary will include: <ul style="list-style-type: none">• executive summary• evaluation of processes including achievements and challenges• study findings including anecdotal feedback from customers• lessons learnt• recommendations.

50. A decision will be made by the Board following review of the evaluation summary as to whether more testing is required, the study ends, or a business case is developed.

51. 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 evaluation summary according to 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 study?
- Has the study identified efficiency gains?
- How effective is the study in achieving its outcomes?
- How sustainable are the outcomes from the study likely to be?
- How acceptable has the study been? – For example, for consumers, assessors, clinicians, service providers?
- To what extent did the study meet the needs of consumers, especially Māori, Pacific and Asian?
- Is there evidence of improved health and equity for all populations?

Business case (for national roll out)

1. 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:
 - a. is supported by a compelling case for change – the ‘strategic case’
 - b. optimised value for money – the ‘economic case’
 - c. is commercial viability – the ‘commercial case’
 - d. is financially affordable – the ‘financial case’
 - e. is achievable – the ‘management case’.

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

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:

- interRAI NZ Governance Board members
- interRAI Services Management Team
- interRAI Services staff
- Palliative Care Pilot Lead

Governance Framework for the introduction of new interRAI assessment tools

	Proposal	Testing	Evaluation	Business Case
Purpose	<p>Preliminary approach and meeting with interRAI NZ regarding proposal and requirements. Define initial scope and rationale for proposal.</p> <p>Interviews with key stakeholders about whether the assessment is needed, if the scope is appropriate for the context and could it work.</p> <p>Approval from interRAI NZ Board to proceed to testing.</p>	<p>Testing execution including software considerations, key drivers, stakeholders and consumers experience, requirements from interRAI education and support services.</p>	<p>Proof of concept objectives and deliverables are reviewed, and the evaluation is prepared.</p> <p>Include lessons learned, findings, data, and recommendations.</p>	<p>A Business Case for an implementation project is prepared for approval by Board. This will include funding options.</p>
Templates	<p>Proposal document</p>	<p>Testing schedule</p> <p>Update for Board</p>	<p>Evaluation summary</p> <p>Lessons learned</p>	<p>Business Case</p> <p>Business Case summary</p>
Process				
Board evaluation	<p>Is the context and need for this proposal clear?</p> <p>Is this assessment fit for purpose?</p> <p>Are the benefits and outcomes clear?</p> <p>Is the scope appropriate to the context?</p> <p>Have the key stakeholders and consumers been identified, informed and involved?</p> <p>To what extent, has the proposal considered the needs of consumers, especially Māori, Pasifika and Asian?</p> <p>To what extent, has the proposal identified potential for improved health and equity for all populations?</p> <p>Has the storage and processing of data been reviewed to assess the security and/or privacy of the information?</p> <p>Is there alignment with the guiding principles of the NZ Digital Health Strategy?</p>	<p>Have there been any barriers to the progress of the study?</p> <p>How are identified risks being managed?</p> <p>Are quality requirements being met?</p> <p>Does the evaluation methodology include sufficient objective measures?</p> <p>Is the assessment acceptable to consumers, including Māori, Pasifika and Asian?</p> <p>Are proposed changes to the study, if any, acceptable/appropriate?</p> <p>Are the anticipated improvements to health and equity for all populations becoming evident?</p> <p>Are data governance practices in line with the International Organization for Standardization (ISO) and International Electrotechnical Commission (IEC) Governance of Data standards?</p>	<p>What were the benefits of the tool in this particular setting and in comparison with existing tools used?</p> <p>What are the unintended outcomes from the study?</p> <p>Has the study identified any efficiency gains?</p> <p>How effective is the study in achieving its outcomes?</p> <p>How sustainable are the outcomes from the study likely to be?</p> <p>How successful has the study been? – For example, for consumers, assessors, clinicians, service providers?</p> <p>To what extent, did the tool meet the needs of consumers, especially Māori, Pasifika and Asian?</p> <p>Is there evidence of improved health and equity for all populations?</p>	<p>Strategic case – Is there demonstrated alignment with national/sectorial priorities, 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 affordable and have possible funding sources been identified?</p> <p>Management case – Is there capacity to roll out the tool nationally e.g. interRAI Education and Support Services.</p> <p>Consumers views to be considered in the business case.</p>