Royal College of Physicians

CSAA
Clinical Service Accreditation Alliance

Clinical Service Accreditation Alliance: Work stream 5

IT requirements for clinical service accreditation schemes

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Version 1

HQIP Healthcare Quality Improvement Partnership

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Contents

Background: About the Clinical Service Accreditation Alliance and about this guidance

About the Clinical Service Accreditation Alliance

This guidance is one of six resources created by the Clinical Service Accreditation Alliance (CSAA). The CSAA is a collection of professional bodies, which came together in 2013 with the aim of standardising and improving the quality of healthcare service accreditation, ensuring patient focus, improvements in standards of care and minimal administrative burden on the healthcare system.

The Alliance's work culminated in November 2016 with the first publication of the resources and this work is now housed with the Healthcare Quality Improvement Partnership (HQIP) with oversight from the CSAA Sponsor Group, whose members are drawn from the Royal College of Nursing, Royal College of Physicians, Royal College of Surgeons, Royal Pharmaceutical Society, Allied Health Care Professionals and the Academy for Healthcare Science. More information can be found here: *www.hqip.org.uk/national-programmes/accreditation-of-clinical-services/*

CSAA outputs: Tools, guidance and resources

As part of its two-year collaboration, the Alliance has developed a suite of resources to support professional bodies who wish to develop professionally-led and patient-centred clinical accreditation schemes. These will publish in late November 2016 and comprise:

- Work stream 1: Requirements and guidance for accreditation of Certification Bodies (in conjunction with UKAS)
- Work stream 2: Sharing and improving accreditation methodologies
- Work stream 3: A map of clinical services for clinical services accreditation schemes
- Work stream 4: A generic framework of standards for accrediting clinical services ('Healthcare – Provision of clinical services – Specification' or PAS1616 – produced by BSI)
- Work stream 5: Requirements for clinical services accreditation IT systems (this document)
- Work stream 6: Developing accreditation schemes for clinical services

About this guidance

This document outlines a generic statement of requirements for an accreditation IT system. The purpose of this is to aid consistent development of IT systems across accreditation schemes. When developing accreditation IT systems, schemes may wish to use all or some of the specification below, depending on their needs.

The generic statement of requirements aims to provide an overview of the functionality required from any accreditation IT system. The needs of each scheme will vary – the statement of requirements outlines broadly what a scheme should look to include. Individual schemes will add the detail to this framework.

This document is not a specification for an IT system. Organisations will need to translate the generic statement of requirements into a specification for this to be used to develop an IT system. This document outlines the areas for inclusion within a system, but does not detail system requirements.

Individual schemes will need to determine the specific requirements of their system, and there are a number of details that will need to be supplied to IT providers brought in to develop a system, including:

- Number of users of the system
- Classes of user of the system and the access rights of these user groups
- Bandwidth required
- Capacity of data storage required
- Data protection and storage requirements

It is envisaged that an organisation should be able to have one IT system for all its accreditation schemes; there will be generic aspects of the system for overall management, and specific aspects for each scheme.

The generic statement of requirements has been adapted from original work by the Royal College of Physicians, to whom the authors are grateful for support.

Generic statement of requirements

Overview

Generic system components	Function
1. **Administrative functions**	System administrator Security IT support Generic page maintenance Automated emails
2. **Scheme set-up**	Scheme creation User management Contact management
3. **Outputs**	Service/Trust/organisation CEO view CQC/regulatory/inspectorate dashboard view Public view
Scheme-management specific components	**Function**
Accreditation management	
4. **Assessor management**	Recruitment Assessor training pathway Professional development Assessor selection for visits Quality assurance
5. **Accreditation pathway**	Self-assessment Evidence upload Assessment of evidence Feedback and reports Deferral management/suspension Board approval Annual surveillance
6. **Service feedback**	Standards Process Assessors and staff
7. **Sharing good practice**	Knowledge management system Training management

8. Service set up/management	Apply scheme branding Standards/evidence set-up Contact management Organisation management Scheme information pages Registration form process Automated emails User management Instructions/training
9. Scheme governance	Governance arrangements
10. Document store	Meeting minutes Expenses policy Working group documents Complaints policy Conflicts of interest Training information
11. Leadership	Management information Leadership and staff structure
12. Feedback and evaluation	Feedback from services Feedback from assessors Feedback from stakeholders Issue register Evaluation Annual reports
Outputs	
13. Reporting	Management reporting Assessor dashboard Administrative dashboards/exports Service status reports Commissioner dashboard

Generic system components

1. Administrative functions

Function	Requirements
a. System administrator	• Different user groups have different requirements and access rights
b. Security	• Data encryption data protection/data storage requirements/data back-up needs stated • Security requirements for sensitive data storage
c. IT support	• Ongoing IT support and maintenance requirements stated
d. Generic page maintenance	• Set-up core system pages that will apply to all schemes e.g. page schemas
e. Automated emails	• Automated emails – bulk, subset and individual • Configurable automated email system with time and event driven template emails • Email text should be easily configurable with basic text functions • Log should be viewable by administrator to show what emails have been sent and also the recipient • Automated emails should be able to be disabled by administrator as required • Automated password reset function

2. Scheme set-up

Function	Requirements
a. Scheme creation	• Ability to add a new scheme – main theme to cascade
b. User management	• Ability to set-up scheme managers and administrators
c. Contact management	• Show leads from each scheme with email addresses

3. Outputs

Function	Requirements
a. Service/Trust/ Organisation CEO view	• National reports extracting core data should be created using system data • Report to be generated online and to be configurable by date and then exported in both word and PDF • Ability to drill down into schemes to see more detailed info e.g. view up to date assessments in service/organisation and timelines of information including annual review for a service
b. CQC/regulatory/ inspectorate dashboard view	• View up to date assessment timeline information including annual reviews for a service
c. Public view	• The system should display the accreditation status of every registered clinical service and provide a summary status of progress

Scheme-management specific components

***Accreditation management:* Area of the system that allows the scheme to manage the accreditation process**

4. Assessor management

Function	Requirements
a. Recruitment	• Area to advertise posts • Facility to log applicants and store applications
b. Assessor training pathway	• Once selected to become an assessor, trainee assessors' progress and any feedback they receive is recorded online • Feedback reports and other information on trainee assessors is logged online. Include a mechanism for those submitting to the system give their permission for the information to be shared • Ability to define specific competencies required for individual assessors
c. Professional development	• Assessors can: – Maintain personal details – Modify qualification, work history – State competences – Monitor training updates/days – Book onto training days • Administrators can: – View assessors' training history – View and amend notifications on assessors' records • Automated emails can be sent to assessors to notify them of training/refresher training required and dates available for this – bulk, subset and individual
d. Assessor selection for visits	• Assessors can: – View and respond to visit event schedule – View assigned related documentation – View/modify/upload assessment and non-conformity related documentation – View visit team composition for visits involved in – Upload expense items lists – Define availability for visits – View process notifications and alerts – Access assessor handbook • Automated emails are generated to inform assessors of selection to a visit • Administrators can: – View assessors' availability and select team members – View expenses submitted – View frequency of use of individual assessors

e. Quality assurance	• Assessor 360 feedback • After each assessment, services and assessors complete feedback on each other. This feedback is then collated and shared, and used to quality assure assessor performance and to support their ongoing development • Feedback is recorded and outputs are generated

5. Accreditation pathway

Function	Requirements
a. Self-assessment	• Services can review standards (clauses, sub-clauses and requirements) online and map their progress against them, indicating which ones they have met and which ones they have not, by answering 'met', 'not met' or 'in progress' to each requirement • Each scheme can view services' self-assessed progress against the standards • Each scheme has screen(s) to capture core information about the services that are applying to it, e.g. location or size • Action plans are auto-generated for areas that have not been met • Responses to each requirement are shown using a traffic light system (met – green, in progress – amber and not met – red) • Service must answer 'met' to each requirement before progressing to stage 2 (evidence upload) • Any time restrictions and regularity of completion of the self-assessment stage should be configurable by scheme • Facilitation of a formal sign off process for self-assessments. This should be configurable by scheme • Screens configurable by scheme admin to set-up the fields they wish to collect
b. Evidence upload	• Services upload evidence online against each standard. Accepted file types and size limit per item/standard will need to be determined • Services are able to modify and update this information. Scheme administrator is notified when evidence is uploaded and modified • Evidence uploaded is securely stored
c. Assessment of evidence	• Evidence can be reviewed remotely by assessors • Remote communication is possible between assessors and service on standards/requirements within the system • Communication is possible between administrator, assessors and services • Standards and 'met', 'not met' responses to them are printable and exportable • Any timelines relating to the accreditation visits should be configurable by scheme • Visit agendas and documentation, including logistics, can be stored and shared

d. Feedback and reports	• Reports are developed automatically following input from assessors • Reports can be manually amended • Recommendations and actions can be reflected in an automated report following a visit • Assessors can subsequently give an assessment outcome (criteria met, deferral/ improvements required or accreditation not awarded) • Visit reports are reviewed by a separate quality assurance process. Quality assurers are able to access the reports online and print these • A factual accuracy stage is required which will allow the service to comment on the detail of the report
e. Deferral management/ suspension	• If there has been a deferral, services should be able to show they have met the standards online, to then be assessed via remote or on-site visit • Function for organising revisits • Admin functions to select assessors • Action planning during deferral stage
f. Scheme Board approval process	• Presentation of a high-level 'dashboard' of accreditation and surveillance activity and associated statuses • Access to review the report and associated documentation • Access to administrator comments relating to an assessment • Board decisions and rationale can be recorded
g. Annual surveillance	• Schemes to be able to decide what data fields to collect • Data collected at annual point • Services must be able to submit all data required • System must support assessors to review data and provide outcome recommendations/decisions

6. Service feedback

Function	Requirements
a. Standards	• Ability for services to leave feedback on standards
b. Process	• Ability for services to leave feedback on process and impact of assessment
c. Assessors and staff	• Ability for services to leave feedback on assessors and staff

7. Sharing good practice

Function	Requirements
a. Knowledge management system	• Area of system to store documents to support other users. These documents can be viewed in library or located via links to each standard • Online store for documents with a formal approval workflow and version control • All documents should be searchable and have keywords added
b. Training management	• Schemes offering training days can manage the administration of these using the system e.g. advertising events, inviting/logging delegates, storing content and sharing information to be used for training purposes • Ability to host remote training options through webex/recorded sessions

8. Scheme set-up/management

Function	Requirements
a. Apply scheme branding	• Scheme name, logo and basic images can be added to the system homepage • Scheme branding will be reflected on all pages of the system and in any reports
b. Standards/evidence set-up	• Standards – Different levels of the standards (clauses, sub-clauses and requirements) are possible and easily identifiable – Each scheme must have core standards (derived from PAS 1616) – PAS will be supported by service specific criteria and evidence – These standards will be reflected on the system and visible to users – Scheme standards will be available online in a user friendly format – Some clauses may not apply to all schemes and so there should be functionality to select those which apply to each scheme. Scheme administrators should be able to configure this – Evidence requirements need to be scheme specific – Administration function to choose which standards various service types must complete is required • Granular version control – Standards, measures and evidence requirements will be updated and improved over time, with a number of iterations – Key details of each version and notes on any changes must be logged online – Online change log – PAS will be changed every 2 years. The system should store and show old versions. Also statistics will need to be easily updatable so any figures over time are useful – Edit function required for scheme specific criteria and evidence – Administrator user interface to fully maintain the standards

c. Contact management	• Contacts are held in a secure database and can be easily managed, edited and updated online by administration staff
d. Service/ organisation management	• Ability to add services/organisations • Need function to ensure that each service is unique and the same service is not duplicated in different schemes
e. Scheme information pages	• Pages with basic text functions can be added to the system homepage to provide key scheme details e.g. contact us, FAQs, scheme overview etc
f. Registration form process	• Services can sign up to the scheme online • Scheme administrator can then review applications and approve them online • Online application includes: – Form and process for approval – Acceptance of scheme terms and conditions – Application fee payment notification and purchase order number request – Scope adjustment requests
g. Automated emails	• Configurable automated email system with time and event driven template emails • Email text should be easily configurable with basic text functions • Log should be viewable by administrator to show what emails have been sent and to whom • Automated emails should be able to be disabled by administrator as required • Automated emails should be able to be manually edited before sending
h. User management	• Ability to add users • Ability to impersonate users to help resolve user issues
i. Instructions/training	• Service handbook • Resources • Notification of training days

9. Scheme governance

Function	Requirements
a. Governance arrangements	• Governance arrangements, for example an organogram of governance structure • Membership and terms of reference for each committee • Agreement between professional associations involved and the evaluation body • Confidentiality and impartiality policies • Declaration of interests policy and declarations of interest of all those involved • List of key stakeholders • Summary of indicators used to evaluate governance performance • Financial summary reports • Risk register – with ability to record action plans

10. Document store

Function	Requirements
a. Meeting minutes	• Governance group minutes • Area for document to be uploaded with version control
b. Expenses policy	• Area for document to be uploaded with version control
c. Working group documents	• Project documentation, such as papers for meetings • Area for document to be uploaded with version control
d. Complaints policy	• Area for document to be uploaded with version control
e. Conflicts of interest	• Policy and process
f. Training information	• Records of all training of: – Services – Assessors – Staff

11. Leadership

Function	Requirements
a. Management information	• Scheme management information • Accreditation body principles • Structures and terms of reference • Management information policies • Operational plan • Notes of annual review • Finances
b. Leadership and staff structure	• Key personnel and responsibilities • Clinical lead roles • Lay advisors • Assessors • Feedback tools

12. Feedback and evaluation

Function	Requirements
a. Feedback from services	• Services and users have ability to comment on the standards, accreditation process and staff • Online feedback form and process using template • Log of improvement actions taken
b. Feedback from assessors	• Assessors have ability to comment on the standards, accreditation process and staff • Online feedback form and process • Log of improvement actions taken
c. Feedback from stakeholders	• Stakeholders have ability to feedback on value of accreditation • Log of improvement actions taken
d. Issue register	• Issue logging function • Complaints review
e. Evaluation	• Automated evaluation reports can be generated from feedback
f. Annual reports	• Scheme performance • Key issues/learning

***Outputs:* Each scheme will require specific outputs to support management**

13. Reporting

Function	Requirements
a. Management reporting	• Administrator require a number of reports to support scheme management, for instance the number of registered services, or number of accredited services • Key information is logged and readily exportable in desired format • Live data should be shown in the reports • The system must be able to present metrics which show how long the accreditation process is taking. The report should show all accreditations that were granted during a selected period and how long each process took, broken down into: the number of days from application to the pre-assessment visit, to the assessment visit, and to the granting of accreditation • The system should produce report data on the number of decisions (broken down by aspects such as accreditation awarded, deferred or withheld) made over a selected period • The system should produce report data on aspects such as the common reasons for deferral

b. Assessor dashboard	• Ability to review number of assessments completed by assessor and to drill down into individual visits • The system should produce report data on the number of times each active assessor was used during a selected time period. This report should also show the assessors who were not used during that period • The system should produce report data on assessors' profiles, training and 360 assessments • The system should produce report data on submitted expenses by assessors for selected periods. This report data should be filterable by scheme type, administrator and assessor
c. Administrative dashboards/ exports	• Stakeholders have ability to feedback on value of accreditation • Log of improvement actions taken
d. Service status reports	• A number of standardised reports should be able to be created by each user type to support various processes • Easily generated and user friendly reporting function
e. Commissioner dashboard	• Area for commissioners to view assessment information that would be useful to support their work – login required for access

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This guidance is produced on behalf of the Clinical Service Accreditation Alliance

Further information is available at:
www.hqip.org.uk/national-programmes/accreditation-of-clinical-services/

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