

# GUIDANCE ON COMPLETING THE “INFORMATION STANDARD FINAL PROPOSAL” SUBMISSION TEMPLATE

## Introduction

The Final Proposal submission is part of the ongoing process of engagement between the Sponsor of a new or changed information standard and the Welsh Information Standards Board (WISB) as part of the NHS Wales Information Standards Assurance Process.

## Purpose

The purpose of the Final Proposal is to collate a body of evidence that will:

1. Notify WISB of the business requirement and the planned implementation or adoption of a new or changed standard (or cessation of existing standard) for consideration and approval if they so choose.
2. Begin and/or finalise the formal process of seeking approval for the development and implementation (or cessation) of a standard
3. Confirm that there is a clear need for a given information requirement and that the proposed standard meets that need or that there are clear reasons for retiring a standard.
4. Indicate whether affected organisations have the ability to comply with the standard.
5. Demonstrate that comprehensive implementation plans are in place covering systems, people and process changes including training and education plans (where applicable).
6. Clarify that clear funding arrangements are or will be in place for implementation and maintenance (where applicable).
7. Enable planning of Review submissions to WISB.

## Final Proposal Submission Document

This document is to be completed by or on behalf of the Sponsor in conjunction with the Head of information Standards, Informatics Services Division of the Welsh Government.

The document requires information on the following topics:-

1. Background  
Including information on the sponsor, developer and potential implementation (or cessation) date.
2. Business Justification  
Including the purpose and scope of the business need behind the information standard (or reasons for retiring a standard) and details of funding and support.
3. Health Information Strategic and Operational Fit  
Including details of how the proposal fits with existing strategic and operational approaches to Information / IT and any known national and international standards that may relate to the proposal.
4. The Proposal  
Details of the proposed (or existing) standard including options considered and how the new or changed standard has been tested and judged fit for purpose. Also includes any known commercial and security and confidentiality considerations.
5. Impact Assessment  
Details of impact assessment and consultation work undertaken and resulting comments and issues.

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6. Implementation Plan  
Outline plan for the implementation or retirement of the standard including timescales, responsibilities, costs and risks.
7. Maintenance and Review  
Details of how maintenance and review processes will be undertaken.

NB If information in sections from previous submissions (i.e. Requirement Notification and Development Proposal) is updated, this should be highlighted within the current submission

## **WISB Review of Final Proposal**

WISB will consider:

- clarity of business requirement and the justification for undertaking the work (it is expected that this will explicitly link to extant Welsh Government strategies, policies, and programmes)
- ongoing justification for proceeding with implementation and maintenance
- how the standard meets business requirements (i.e., demonstrating fitness for purpose)
- relationships with other standards in operation or development including timing of implementation or retirement
- impact of implementation or cessation of the information standard
- the overall viability of the implementation and maintenance plans leading to consideration of final submission approval conditional on DSCN sign-off
- referral of the development to the Information Requirements Board if concerns are identified regarding implementation prioritisation or resourcing for implementation or maintenance
- when a review of the standard should be undertaken

If there is a concern with the Proposal this will be discussed further with the Sponsor.

## COMPLETING THE DOCUMENT

The following guidance is provided to assist in completing the individual sections of the Final Proposal submission template.

NB When submitting proposals for the cessation of a standard it may not be possible to identify all the information requested e.g., funding may not be directly relevant for the retirement of a standard.

### DOCUMENT CONTROL INFORMATION

The basic information on the document including the title of the standard, document history and who completed the document.

<b>Header Page</b>	The <b>TITLE</b> of the existing or proposed information standard should be entered here along with the <b>DATE</b> the document has been completed.
<b>Form completion sheet</b>	<p>The <b>REVISION HISTORY</b> section should be completed</p> <p>Details should be provided for person completing the document in the <b>SUBMITTED BY</b> section and contact details for feedback in the <b>FEEDBACK TO</b>.</p> <p>Indicate the <b>SUBMISSION PURPOSE</b> i.e. whether the submission is for: information; draft proposal for consideration; formal approval.</p> <p>There is also an opportunity to outline specific subjects you would like WISB to consider if the submission is not for formal approval.</p>

### SECTION 1: BASIC INFORMATION STANDARD DESCRIPTORS

The purpose of this section is to capture basic information about the proposed information standard. Each sub-section identified below should be completed as far as possible with indication given where assumptions are made.

<b>1</b>	<b>Information Standards Reference Number</b>	Available from <a href="mailto:data.standards@wales.nhs.uk">data.standards@wales.nhs.uk</a>
<b>2</b>	<b>Welsh Health Circular (WHC)/Official Letter</b>	<p>The reference number for the Welsh Government policy mandate associated with this standard.</p> <p>The policy mandate carries the necessary authority to ensure that a standard is implemented in accordance with the detail in the DSCN until the standard is retired or superseded. Any Welsh Government policy initiated standard that requires person identifiable information to flow into DHCW should be supported by a policy mandate.</p> <p>If it is felt that a policy mandate is not required, the rationale for that decision should be recorded.</p>
<b>3</b>	<b>Name of Information Standard</b>	Name of existing or proposed information standard this Proposal refers to.
<b>4</b>	<b>Type of change</b>	Identify the type of change that is required. I.e., is the requirement for - a new standard;

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		<ul style="list-style-type: none"> <li>- a change / amendment to an existing standard;</li> <li>- the formal adoption of an existing standard that has not previously received formal approval from WISB</li> <li>- the retirement (cessation) of an existing standard.</li> </ul>
<b>5</b>	<b>Sponsor</b>	<p>Identify the name and contact details of the sponsor for this requirement.</p> <p><i>A Sponsor shall be the person(s) responsible for ensuring that the conditions for effective implementation of the new requirement, <u>including funding</u>, are present.</i></p> <p><i>The Sponsor will usually work for the Welsh Government. If in exceptional circumstances this is not the case, the Sponsor must obtain support from a suitable individual within the Welsh Government who has the authority to request or issue a Ministerial or Official letter or equivalent.</i></p>
<b>6</b>	<b>Developer</b>	<p>Identify the known or potential developer(s) for the standard. Developer in this context would also include the person(s) who would undertake the implementation planning for adoption or cessation of an existing standard.</p>
<b>7</b>	<b>Implementation Date</b>	<p>Indicate the potential implementation (or cessation) date for the standard.</p>

## SECTION 2: BUSINESS JUSTIFICATION

The purpose of this section is to capture information on the Business Justification for this Proposal. The intention is to understand how the requirement arose and what the customer / business need is, what the implementation of the new or changed standard will achieve, how the implementation will be funded and continuing support for the standard. Each sub-section identified below should be completed as far as possible with indication given where any assumptions are made.

<b>8</b>	<b>Purpose</b>	<p>Identify the business purpose behind the Information Standard giving information on any relevant areas of policy, customer need and specific business requirements that have generated the requirement for a new or changed standard to be implemented or a standard to be retired.</p> <p>Further comments on benefits of the standard and risks if the standard is not approved should also be incorporated.</p>
<b>9</b>	<b>Scope</b>	<p>Indicate the scope (coverage) of the requirement in terms of the NHS service / business areas it covers and who would use the standard.</p> <p>Examples might include:</p> <ul style="list-style-type: none"> <li>- a subset of NHS patients e.g., children;</li> <li>- a subset of NHS services or organisation e.g., NHS Trusts.</li> <li>- a subset of users e.g., clinicians</li> </ul> <p>Note any exclusions from the scope.</p>
<b>10</b>	<b>Funding</b>	<p>Document funding arrangements that are, or will be available, to undertake implementation of the standard (or any resource</p>

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		<p>issues for ceasing an existing standard).</p> <p>Consideration should also be given to:</p> <ul style="list-style-type: none"> <li>▪ whether this is subject to Welsh Government approval via a Business Case</li> <li>▪ the period for which funding is assured</li> <li>▪ whether this covers capital <i>and</i> revenue costs and for what period</li> <li>▪ what the funding will resource (e.g., corporate developments in WG/DHCW etc or developments within the Service)</li> </ul>
11	<b>Support</b>	<p>Provide details of the bodies / organisations that are required to support the development and implementation (or cessation) of this standard and whether this support has been identified.</p> <p>e.g., WG policy directorates; professional bodies; representative committees.</p>

### SECTION 3: HEALTH INFORMATION AND IT STRATEGIC, NATIONAL AND INTERNATIONAL FIT

This section captures information on how the standard relates to existing national IT and information programmes and any current standards in use in Wales, the UK or internationally.

12	<b>Strategic National Fit</b>	<p>Provide details of how this proposal fits with strategic national developments in IT and information systems, policy, and standards.</p> <p>Provide details of any known or likely interactions or dependencies with the ongoing work of national projects, programmes, or other existing information requests. State how these will be addressed.</p>
13	<b>Known standards in use nationally and internationally.</b>	<p>Provide details of any existing standards in use or under development in NHS Wales, the UK and internationally that may have relevance to this proposal and how links will be made between the standards.</p> <p>For relevant standards provide information on how an existing standard should be adopted or adapted for use in Wales or why it is not considered to be an option for use in Wales.</p>

### SECTION 4: THE PROPOSAL

This section sets out the proposed solution for meeting the business requirement including any options that have been considered. Detail should include how the solution will be judged “fit for purpose” and results of testing and piloting work undertaken.

14	<b>Proposed Solution</b>	<p>Provide details of the proposed (or existing) standard including options that have been considered.</p> <p>Identify the proposal in terms of “what; where; when; how; and who” e.g.:</p> <ul style="list-style-type: none"> <li>▪ Where it is / will be used</li> </ul>
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		<ul style="list-style-type: none"> <li>▪ Who uses / will use it (i.e., which groups of staff / patients / public)</li> <li>▪ How it is / will be used in routine practice (i.e., give some scenarios)</li> <li>▪ How data is / will be sourced, transmitted, received, processed, analysed, and applied</li> </ul> <p>Identify any strengths and weakness of the proposed solution and how these may be addressed during implementation / cessation.</p> <p>Include draft DSCN</p>
<b>15</b>	<b>Testing / Pilot</b>	Provide details of how the standard has been tested and / or piloted and any further testing work planned. (NB may not be applicable for retirement of a standard.)
<b>16</b>	<b>Information governance</b>	Provide details of any known governance issues, i.e., security, confidentiality, consent (including third party consent) and ethics. Indicate if any advice on issues has been sought and from whom.
		If relevant, the evidence must also explicitly state whether the Clinical Risk Management Process has been undergone
<b>17</b>	<b>Commercial Considerations</b>	Indicate if there are any commercial considerations that need to be taken into account and how e.g., the standard is or relies on a proprietary product; licensing arrangements; intellectual property rights.
<b>18</b>	<b>Fitness for Purpose</b>	Provide information on how the standard has been judged “fit for purpose” and any further work planned in this regard. i.e. how will the standard be judged as meeting the original business requirement? (NB may not be applicable for retirement of a standard.)

## SECTION 5: IMPACT ASSESSMENT

This section captures detail on the expected impact of the proposed solution and whether organisations can implement the solution or retire the standard. This will be a key area of consideration for WISB at this stage.

<b>19</b>	<b>Impact Assessment</b>	<p>Detail consultation and impact assessment activities that have been undertaken including:</p> <ul style="list-style-type: none"> <li>▪ the capability of organisations to comply with the standard (or retirement)</li> <li>▪ issues that need to be resolved (e.g., data quality; timescales; compliance.)</li> <li>▪ changes made to the proposal in light of the impact assessment findings</li> </ul> <p>Provide details of any consultation work undertaken. This should incorporate relevant feedback from various stakeholders including those who do / will manage a standard on behalf of the sponsor; suppliers; interest groups; and the</p>
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		<p>range of users of the standard.</p> <p>Written details of support should be included in the final submission; this should take the form of a formal letter from the appropriate body, stating what their level of support is and how this was formed, or a section of the appropriate meeting minutes where this was discussed.</p> <p>Include Impact Assessment Report, where produced</p>
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## SECTION 6: IMPLEMENTATION PLAN

This section captures information on the plans for implementing the proposed solution.

<b>20</b>	<b>Implementation Plan</b>	<p>Outline the plan for undertaking the implementation (or retirement). More detailed plans can be attached in the appendix.</p> <p>Details should include:</p> <ul style="list-style-type: none"> <li>Deliverables / products</li> <li>Responsibilities</li> <li>Interdependencies</li> <li>Communications</li> <li>Timescales</li> <li>Training and Education</li> <li>Costs / Resources</li> <li>Risk management</li> <li>Benefits realisation</li> <li>Conformance/ quality</li> <li>Change management / migration</li> </ul>
<b>21</b>	<b>Official Documentation</b>	<p>Provide details of official documentation that is required to mandate and support implementation (or retirement).</p> <p>Examples of documentation include Ministerial or Director letters, guidance and DSCNs. If draft documentation is available, then attach in the appendix. NB DSCNs should be developed by / or in conjunction with the Data Standards and Information Quality team (DSIQ).</p>

## SECTION 7: MAINTENANCE AND REVIEW

The purpose of this section is to identify how maintenance and review processes will be managed post implementation of new or changed standards.

<b>22</b>	<b>Maintenance Process</b>	<p>Provide information on the process for maintaining and reviewing the standard. e.g., who will maintain the standard? (NB not required for cessation of a standard.)</p>
<b>23</b>	<b>Planned Review Dates</b>	<p>Identify when post implementation (or retirement) review activities will take place.</p>

## SECTION 8: ASSURANCE PROCESS HISTORY

This section outlines the assurance process history of a Submission. Formal documentation which has been appraised by the NHS Wales Assurance Process (WISB or WIDG) should be embedded below.

The sub-section identified below should **be completed by DHCW staff only**. External Sponsors and/or Developers should liaise with relevant DHCW staff to complete this section on their behalf.

<b>24</b>	<b>Documentation</b>	Attachments should include: Requirement Notification Requirement Notification – Final Outcome Development Proposal Development Proposal – Exception Report (if applicable)
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## SECTION 9: APPENDIX

Use this section to provide additional context to the proposal that is not recorded in any other section of the document

<b>25</b>	<b>Appendix</b>	Attachments could include, for example: SBAR Project documentation etc
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