



**Information Sharing Challenge  
Fund: *National information  
standards and technology to  
support 21<sup>st</sup> century care***

*2012 Prospectus*

## Information Sharing Challenge Fund Prospectus

### DH INFORMATION READER BOX

Policy	Clinical	Estates
HR / Workforce	Commissioner Development	<b>IM &amp; T</b>
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<b>Description</b>	The Information Sharing Challenge Fund is targeted at NHS organisations and seeks to improve patient care by stimulating the creation of new and innovative digital services, underpinned by robust and re-usable approaches to information sharing in health and social care. The document explains the eligibility criteria and how to apply.
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## Information Sharing Challenge Fund Prospectus

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# Information Sharing Challenge Fund: National information standards and technology to support 21st century care

## *2012 Prospectus*

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## 1 Overview

**The Information Sharing Challenge Fund is looking to support improved patient care by stimulating the creation of new and innovative digital services, which are firmly underpinned by robust and effective information sharing. In summary, it is about making care services talk to each other, and to their patients, effectively. The Fund, which is supported and led by the Patients and Information Directorate of the NHS Commissioning Board, needs your ideas and innovations and will provide funding for outstanding ones.**

There are many opportunities for improving information sharing: between NHS organisations; across healthcare settings, e.g. primary, community and emergency care; between the NHS and our partners, e.g. social services, third sector; and also with patients and their carers.

This document provides the information to help you decide if the Fund is suitable for your organisation and project(s). It provides details of:

- The types and scope of funding available
- The eligibility criteria and details relating to awards
- The application and evaluation process.

This initial call for proposals has been established to test the appetite for, and viability of, a scheme that supports common approaches to sharing digital information. Successful applications will demonstrate how the proposed information sharing initiative will:

- Provide benefits to patients
- Impact positively on clinical practice
- Contribute to the effective management of the NHS.

Successful applicants will also demonstrate how they have paid due regard to meeting statutory obligations including equalities legislation and the public sector Equality Duty, information governance, information standards, clinical safety and procurement legislation.

Please read this document before submitting an application.

If you require further information before deciding to apply, you can contact us by email at: [toolkit.enquiries@nhs.net](mailto:toolkit.enquiries@nhs.net).

If you decide to apply, your application for funding must be completed and submitted by 12 noon on the 5<sup>th</sup> October 2012 to [toolkit.enquiries@nhs.net](mailto:toolkit.enquiries@nhs.net).

Further detail as to the form of the application is described in paragraph 6.1.

## 2 Why has the Fund been established?

Seamless, integrated care within and between organisations requires a step change in the way information is currently shared and used, so that information is available to patients, clinicians and NHS staff, where and when they need it.

It is widely agreed that the modern NHS should be providing patients with great care. Patients expect, and assume, that the NHS, social care and other organisations are joined up and understand their needs implicitly. It should be remembered that for some patients, having access to 'their' information and being involved in decisions about their care is very important. In addition to this, all patients want to be treated with dignity, and have confidence that the care they receive is safe and effective – information sharing plays a pivotal role in this.

Replacing paper-based processes, improving digital information sharing within and between those organisations and delivering joined-up care to patients can significantly improve the efficiency and quality of care. The Fund has been established to accelerate the exchange of digital information, address barriers to the development and early adoption of re-usable approaches to sharing digital information and reduce the associated costs of integration across the NHS.

Sharing of information digitally also poses some issues in delivering safe and equitable health services. For instance some groups may be excluded through the use of digital channels. Applicants will need to demonstrate how they will ensure they pay due regard to the Public Sector Equality Duty (PSED) as well as obligations in respect of privacy, information standards, patient engagement and safety as they deliver their project. The PSED covers the following protected characteristics: age; disability; gender reassignment; pregnancy and maternity; race; religion or belief; sex and sexual orientation; marriage and civil partnership, (in respect of the need to eliminate discrimination) and carers 'by association' with people sharing some of the characteristics.

### 2.1 What funding is available?

The Information Sharing Challenge Fund is available to support local projects that are creating new and innovative services to meet the broader challenge of integrated care. Individual applications will need to justify the amount of funding requested versus the cost of the project. However, the award funding is at the discretion of the Interoperability Investment Programme Board and may not always match the funding requested by the applicant. The expectation is that there will be relatively few awards over £75,000, and that the majority of the awards will be below £50,000.

These projects must lead to a successful deployment and demonstrate meaningful use of digital information exchange, in a health and social care environment, by 31 March 2013.

Where projects involve development of new digital information sharing solutions, the specifications must be reusable across the NHS and the wider health and social care economy, including adoption by other IT application suppliers. The specifications will be expected to form part of the NHS Interoperability Toolkit (ITK), which is a portfolio of national

specifications, frameworks and implementation guides supported by a supplier accreditation scheme.

For more information refer to the ITK website:

<http://www.connectingforhealth.nhs.uk/systemsandservices/interop>

Three types of award are available:

- **Development:** For organisations running a project that will result in:
  - The creation of a new information sharing standard and its adoption into the ITK
  - Accreditation of a supplier's product to that standard
  - The deployment of that product
  - The use of the standard to realise business benefit.
- **Adoption:** For organisations running a project that will result in:
  - Accreditation of a supplier's product to an existing ITK standard
  - The deployment of that product
  - The use of the standard to realise business benefit.
- **Deployment:** For organisations running a project that will result in:
  - The deployment of a supplier's product that is already ITK accredited
  - The use of that ITK standard to realise business benefit.

It is possible that proposed projects have elements that attract more than one type of funding award. For example, an NHS organisation may be implementing an interface between System A and System B. The supplier of System A already has ITK accreditation and has an ITK-certified interface available to deploy. This side of the interface would be eligible for a Deployment funding award.

The supplier of System B does not have ITK accreditation. This side of the interface would be eligible for an Adoption award.

In this scenario, the NHS organisation should apply for an Adoption funding award.

The emphasis of this scheme is on supporting innovative services that can be established quickly and as such it is expected that the majority of awards will make use of existing capabilities of the ITK.

Please refer to Section 3.1 for a list of capabilities that are eligible for funding.

Prioritisation of the capabilities to be included in any future development for ITK will be set by the Interoperability Investment Programme Board and will take account of policy priorities as well as evidence of demand from across the NHS. If you have a proposal that requires the development of a new capability or use of an existing capability that is not currently eligible for funding (see Table 1) you can submit an expression of interest, which the Programme will use to evidence demand in assessing priorities for any future development.

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The award of funding will be determined through the evaluation, prioritisation and selection of applications submitted by interested organisations. The split of total available funding between Development, Adoption and Deployment awards will be determined by the Programme Board, in line with agreed priorities and constraints.

## 3 Scope

### 3.1 In Scope

The Fund is targeting Development, Adoption and Deployment projects able to meet the relevant payment conditions as set out in Section 5.7 by 31 March 2013.

Awards are available to support projects proposing to use the ITK capabilities listed in Table 1. These capabilities have been assessed as feasible for delivery within the timeframe available for completion. These include existing ITK capabilities at “Issued” or “Release Candidate”, and new capabilities, for which the Programme is seeking organisations to commit to a ‘first of type’ implementation of a new digital information sharing specification.

Development Award	Adoption Award	Deployment Award
<p><b>Clinical Correspondence</b>  <i>(Development and implementation of a new ITK clinical content standard for example - Mental health discharge content specification)</i></p> <p><i>Note: this type of project requires the applicant to work with suppliers &amp; Royal Colleges to develop an appropriate specification for adoption into ITK</i></p>	<p><b>Clinical Correspondence</b>  <i>(Implementations of the ITK 2 specifications for Clinical Correspondence.</i></p>	<p><b>Clinical Correspondence</b>  <i>(Implementations of the ITK 2 specifications for Clinical Correspondence.</i></p>
<p><b>Maternity Forms – Digital Capture Device Integration</b>  <i>(Development and implementation of a new ITK specification to enable the consistent digital transfer of data between digital capture devices and maternity information systems)</i></p> <p><i>Note: this project requires the applicant to work with suppliers to develop an appropriate specification for adoption into ITK</i></p>	<p><b>Not offered</b></p>	<p><b>Not offered</b></p>
<p><b>Telehealth Personal Health Monitoring Report</b>  <i>PHMR supports the exchange of summary monitoring data between a Telehealth remote monitoring management system and a clinical record (Implementation and First supplier application accreditation of the ITK 2 specification required)</i></p>	<p><b>Telehealth Personal Health Monitoring Report</b>  <i>Note: this award places a dependency on the successful completion of the associated development project accreditation. Please consider applying for a development award.</i></p>	<p><b>Telehealth Personal Health Monitoring Report</b>  <i>Note: this award places a dependency on the successful completion of the associated development project accreditation. Please consider applying for a development award.</i></p>

Development Award	Adoption Award	Deployment Award
<p><b>Health and Social Care</b> <i>(First supplier application accreditation required)</i></p> <p><i>Note: Based on candidate solution created by the CAF demonstrator Project</i></p>	<p><b>Health and Social Care</b> <i>Note: this award places a dependency on the successful completion of the associated development project accreditation. Please consider applying for a development award.</i></p>	<p><b>Health and Social Care</b> <i>Note: this award places a dependency on the successful completion of the associated development project accreditation. Please consider applying for a development award.</i></p>
<p><b>Not offered</b></p>	<p><b>Clinical Dashboards</b> <i>(Implementation and accreditation of the ITK 2 capability.</i></p> <p><i>Supporting the transmission of commissioning/performance data including measurements of:</i></p> <ul style="list-style-type: none"> <li>• <i>Quality of patient care</i></li> <li>• <i>Performance monitoring</i></li> <li>• <i>Operational effectiveness</i></li> <li>• <i>Clinical outcomes</i></li> <li>• <i>The patient experience</i></li> </ul>	<p><b>Clinical Dashboards</b> <i>(Implementations of the ITK 2 capability.</i></p> <p><i>Supporting the transmission of commissioning/performance data including measurements of:</i></p> <ul style="list-style-type: none"> <li>• <i>Quality of patient care</i></li> <li>• <i>Performance monitoring</i></li> <li>• <i>Operational effectiveness</i></li> <li>• <i>Clinical outcomes</i></li> </ul> <p><i>The patient experience</i></p>
<p><b>Not offered</b></p>	<p><b>Admission, Discharge and Transfer (ADT ITK2)</b> <i>(Implementation and accreditation of the ITK 2 specifications for the transfer of admission, discharge and transfer administrative information. Traditionally found in PAS to departmental system interfaces)</i></p>	<p><b>Admission, Discharge and Transfer (ADT ITK2)</b> <i>(Projects deploying the ITK 2 specifications for the transfer of admission, discharge and transfer administrative information. Traditionally found in PAS to departmental system interfaces)</i></p>
<p><b>Not offered</b></p>	<p><b>Not offered</b></p>	<p><b>ITK 1 Uplift</b> <i>(Uplift of existing Discharge Summary implementations from ITK 1 to the ITK 2 specification)</i></p> <p><i>Note: Only available for sites with existing ITK 1 deployments</i></p>

**Table 1: ISCF Awards and Capabilities Matrix**

## 3.2 Priorities

Priority will be given to projects that show real, significant innovation and the ability to realise benefits, as well as demonstrate commitment and deliverability. Naturally, all projects must respect privacy and confidentiality and will be subject to local information governance as set out in the ITK Trust Operating Model IG Guidance<sup>1</sup>.

Should there be a need to further prioritise demand to fit within the available funding and other constraints, the current expectation is that priority consideration will be given to projects that:

- Improve the coordination of care between primary and unscheduled providers
- Support mobile working
- Provide 'transactional services' online.

## 3.3 New ideas

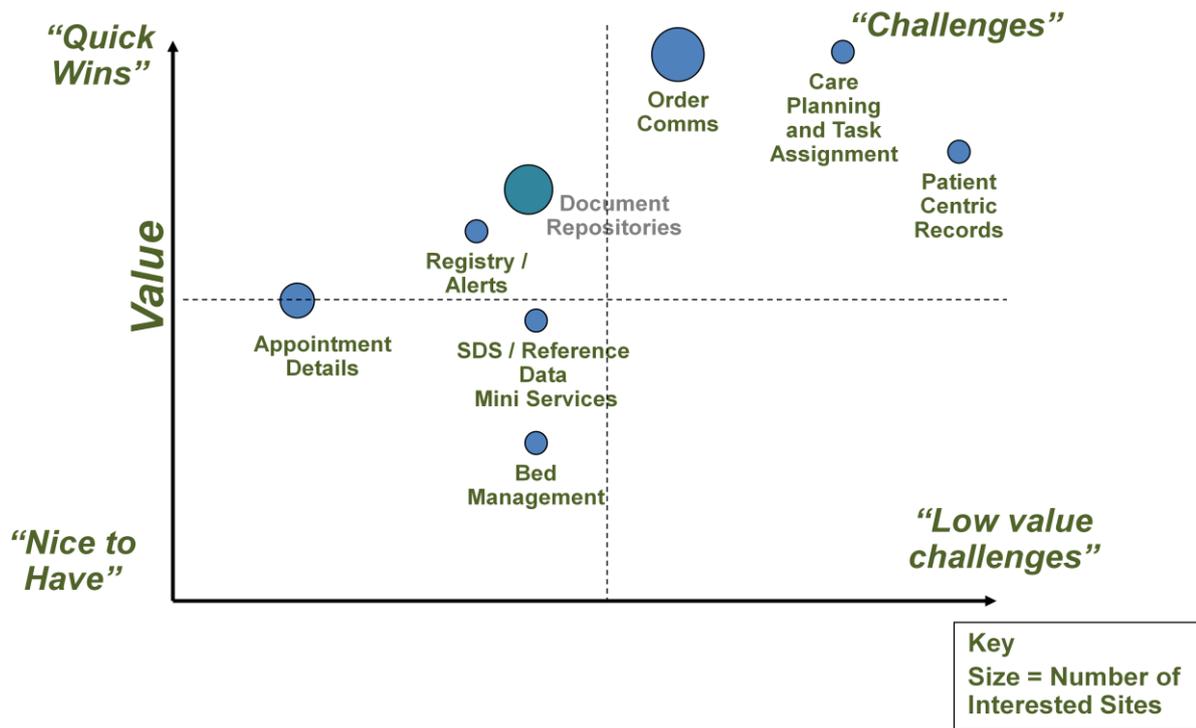
To assess expected demand and inform decisions on the scope for any future developments for ITK, the Project is also inviting expressions of interest for capabilities not listed in Table 1. Submission of an expression of interest is open to anyone, and is without commitment.

If you have an idea for a new digital information sharing capability, please provide us with details by submitting an expression of interest, using the form which is available on the [ITK website](#):

As an example, the diagram below indicates the topics already identified as possible candidates for future developments in the ITK.

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<sup>1</sup> Interoperability Toolkit - Trust Operating Model IG Guidance document reference NPFIT-ELIBR-AREL-DST-0363. The latest version is available via the TRUD service at <http://www.ukcregistration.nss.cfhs.nhs.uk/trud3/user/guest/group/0/pack/13>



**Table 2: Possible candidates for future ITK development**

### 3.4 Scope exclusions

Funding awards are only available for the capabilities listed in Table 1.

ITK PDS Spine mini-services are out of scope for funding.

ITK Release 1 capabilities are not eligible for funding, with the exception of organisations seeking to uplift existing ITK Release 1 deployments to ITK 2.

## 4 Eligibility

### 4.1 Eligible Organisations

The Fund is open to all NHS organisations in England, with the exception of SHAs and PCTs due to limitations associated with the payment mechanisms. SHAs and PCTs should utilise an NHS Trust/Foundation Trust within their area to be the lead organisation on any applications they wish to make. Successful applicants may utilise the funds provided to support other care providers, including social care, where they have appropriate financial arrangements in place, such as Section 75 agreements under the NHS Act 2006.

An eligible organisation may submit multiple applications, but each application must be for a separate proposed project.

For a proposed project where there are multiple organisations involved, a lead applicant must be nominated and an application submitted by this organisation only. In cases where it becomes apparent that there are multiple separate applications for the same work, the Programme will facilitate agreement between the applicants on their respective roles as part of the evaluation process.

Suppliers cannot make direct applications. Suppliers may have a group of NHS organisations who are interested in collaborating on a proposal. In this case the supplier will need a lead NHS customer to submit the application and lead the project.

Where there are multiple suppliers involved in a proposal, the proposed role of each supplier should be set out in the application together with a breakdown of anticipated costs.

### 4.2 Eligible projects

For the purposes of the Fund, a project is described as a discrete piece of work, with a detailed scope that addresses a digital information sharing need, with a specific systems interface requirement whose implementation will realise benefits in the local provision of care.

Projects must have a plan that would enable delivery of the solution and be able to meet the relevant payment conditions as set out in Section 5.7 by 31<sup>st</sup> March 2013.

Only one application can be made for a single project, i.e. by the nominated lead NHS organisation.

## 5 Details of awards

### 5.1 Value and use of funding

The value of individual awards shall be determined on a case-by-case basis through a review of each project application. The value of an award will be derived from the proposed costs of interface development, and specifically any additional costs associated with developing, adopting and deploying an ITK capability. It is recognised that the costs associated with Development will be greater than those associated with Adoption, which in turn will be greater than those associated with Deployment. The value of awards will reflect this.

Award payments will be made at key points in the delivery of the project. The payments will be in return for fixed price deliverables (supported by Purchase Orders and Invoices) and the price to be paid for each will be set out in the Award Agreement. Payment will occur following successful acceptance of each deliverable and the deliverables for the different types of award are set out in section 5.7

Funding must be used to support the development, adoption and deployment of ITK capabilities. The types of activities requiring this additional funding might include: planning and project management, requirements definition, design and development of ITK-certified interface, and ITK technical conformance testing and accreditation. Funding cannot be used to cover operational costs. It should be recognised that in estimating costs and timescales for development projects, there is likely to be a requirement for iterative developments to test and refine candidate specifications.

For Projects that are purely uplifting an existing deployment of an ITK Release 1 specification based supplier product, to an ITK Release 2 specification, then the funding will be limited to direct costs incurred with the supplier.

### 5.2 Other available support

Where a number of applications for any of the prospectus capabilities (Table 1) are received there may be an advantage to collaborative working. Applicants will be encouraged to form “self help” groups. The central ITK technical team will endeavour to join these groups where appropriate.

### 5.3 Conditions of award

Following award, the successful applicant is required to sign an Award Agreement. The purpose of this document is to:

- Set the principles of agreement between the Programme and the NHS organisation regarding the delivery of the project, for which they will receive funding
- Provide guidance on the obligations that are required to be put in place between the NHS organisation and each of the local suppliers who will be participants in the delivery of the project in order to be eligible for funding
- Provide details regarding the terms on which funding may be withdrawn

- Provide clarity on Intellectual Property rights, reflecting the agreement made with industry through Intellect.

These include, but are not limited to: Governance arrangements, payment milestones, definition of “meaningful use”, lapse of award, Intellectual Property Rights provisions, etc.

For more details, refer to the standard form of the Award Agreement, which is available for download from the [Department of Health \(DH\) website](#).

### 5.4 Development awards

Development awards are intended to support the development of new information sharing specifications for inclusion in the ITK portfolio, and the delivery of first-of-type implementations that result in a care service that benefits from the new digital information sharing.

Lead NHS organisations, and their suppliers, must be willing to work with the Programme to develop requirements and shape candidate specifications, and collaborate with wider stakeholder groups to provide assurance that the proposed solution is fit-for-purpose in terms of forming the basis of a national information sharing specification.

Suppliers will be required to demonstrate conformance to the resulting specifications through the [ITK accreditation process](#). Suppliers will be expected to commit to maintaining the compliant interface within their product set and make it available with no further development charge to other customers.

NHS organisations will be expected to deploy the ITK-certified application and achieve meaningful use of the capability in support of care delivery.

The Department of Health will assure any new ITK specifications, developed either with commercial suppliers or in-house NHS teams.

### 5.5 Adoption awards

Adoption awards are intended to support the incorporation of an existing information sharing specification (from the ITK portfolio) into an application for the first time. Awards are available to support projects where products on one or both sides of the interface do not already have an ITK-compliant solution.

As with Development awards, suppliers will be required to have their product ITK-accredited for the ITK Capability used, and NHS organisations must demonstrate meaningful use of the resulting solution.

## 5.6 Deployment awards

Deployment awards are designed to support early-adopter NHS organisations to deploy ‘off-the-shelf’ ITK-accredited solutions to meet their local information sharing needs.

Details of suppliers and products that have already achieved ITK accreditation can be found in the [ITK accreditation catalogue](#).

## 5.7 Payments

Payments will be made following acceptance of various deliverables at key points in the project. Table 4 below sets out the deliverables and which type of award they are applicable to. A Development award would therefore result in 5 payments as each of the deliverables is produced, accepted and invoiced during the lifetime of the project. The acceptance criteria for each of the deliverables are set out in the Award Agreement. Each Award Agreement signed between the DH and the recipient NHS Organisation will state the price to be paid for each of the deliverables, which will reflect the total amount of funding awarded. It should be noted therefore that funding is **not** provided at the time of award, but is paid as the project progresses.

Development Award	Adoption Award	Deployment Award
<b>Create New Theme Specification</b> <i>** Not required where specification is developed by the ITK Team</i>	X	X
<b>Grant Intellectual Property for Specification</b> <i>** Not required where specification is developed by the ITK Team</i>	X	X
<b>1<sup>st</sup> Supplier Application Accreditation</b> <i>**Required to prove stability of candidate specification prior to release for wider adoption</i>	X	X
X	<b>Accreditation of Supplier Application</b>	X
<b>Meaningful Use Certification</b>	<b>Meaningful Use Certification</b>	<b>Meaningful Use Certification</b>
<b>Case Study</b>	<b>Case Study</b>	<b>Case Study</b>

Table 3: Project payment deliverables

## 6 Award process

### 6.1 Application

Applications must be submitted using the application form, which is available for download from the [Department of Health \(DH\) website](#)

Documents available for download include:

- Prospectus (this document)
- Application form
- Award Agreement.

The following documents can be downloaded from the ITK website

- [Expression of interest form \(for proposing new ideas\)](#)
- [Guidance for completing the application form](#)

Application process timings are set out in Table 4

Date	Milestone description
5 <sup>th</sup> October 2012 at 12:00 noon	Submission deadline for applications
October 2012	Target date for award decisions

**Table 4: Application timing**

Applications should be submitted electronically to the following email address:  
[toolkit.enquiries@nhs.net](mailto:toolkit.enquiries@nhs.net).

Applications received after the deadline for submission will not be considered.

The name of the NHS organisation and the project title should be included in the email subject field. The applicant will receive an acknowledgement of receipt via email.

## 7 Application Evaluation

Applications will be reviewed against pre-defined evaluation criteria and ranked in order of merit. This process is intended to ensure that awards are:

1. Directed towards projects deemed to be of greatest merit and
2. Only awarded to projects where there is a clear commitment from both the applicants and their suppliers to implement an ITK-compliant solution.

Each application will be assessed and scored in three areas:

- Commitment, e.g. business sponsorship, stakeholder support and supplier commitment
- Impact, e.g. clinical and business benefit, ability to demonstrate meaningful use
- Deliverability, e.g. timescales, complexity, capability and capacity.

Evaluation criteria are then weighted for each type of award, as listed in Table 5.

Evaluation Category	Award Type		
	Development	Adoption	Deployment
Commitment	30%	25%	30%
Impact	40%	50%	50%
Deliverability	30%	25%	20%

**Table 5: Evaluation category weightings**

A summary of the evaluation categories and criteria is provided in Table 7 below

	<b>Title</b>	<b>Description of evaluation criterion</b>
<b>1.</b>	<b>Commitment</b>	
1.1.	<b>Business sponsorship</b>	Level of support from senior level business sponsors within the applicant organisation for the proposed project and for taking an ITK standards-based approach
1.2.	<b>Key Stakeholder Engagement</b>	Level of engagement and support for the project from key stakeholder groups, including patient representatives, clinical users, clinical safety, Clinical Commissioning Group and SIRO / Information Custodians.
1.3.	<b>Delivery partner commitment</b>	Confirmation of commitment from delivery partners and suppliers to deliver the proposed project and commitment to using an ITK standards-based approach
<b>2.</b>	<b>Impact</b>	
2.1.	<b>Patient / Clinical impact</b>	The degree to which the project will provide benefits to patients and/or impacts positively on clinical practice.
2.2.	<b>Benefits realisation</b>	Degree to which the project contributes to the effective management of the NHS by realising quantifiable benefits. Consideration will be given to the degree to which the proposed information sharing initiative could be reused in other NHS organisations.
2.3.	<b>Innovation</b>	Evidence that the project is seeking to deliver innovative ways of applying technology to address significant patient or clinical needs
<b>3.</b>	<b>Deliverability</b>	
3.1.	<b>Delivery timeframe</b>	Ability to complete all activities and receive incentive fund payments as per the prospectus by 31 <sup>st</sup> March 2013.
3.2.	<b>Delivery risk</b>	Assessment of the level of risk associated with delivery of the proposed project, and strategies to mitigate and manage delivery risk
3.3.	<b>Capacity and capability to deliver</b>	Evidence that the applicant and their delivery partners and suppliers have the capacity and capability to deliver the proposed project in the stated timeframes.
3.4.	<b>Level of funding required</b>	Evaluators assessment of whether the requested ISCF funding is reasonable for the type of work and the distribution of costs between the parties involved aligns with respective roles and responsibilities

**Table 6: Summary of the evaluation categories**

Applicants are required to conduct an initial self-assessment of the proposed project, which is included within the application form template.

## 7.1 Notification of awards

Once applications have been assessed, scored and selected, the Programme will notify all applicants of the outcome of their applications, with reasons for the decision.

Where there are multiple applications for the same work the Programme will facilitate agreement between the applicants on their respective roles. (e.g. two sites wishing to work with the same supplier to incorporate the same ITK interface). The programme will normally award development work to the applicant with the highest evaluation score. The unsuccessful applicant may be considered for an alternative award, e.g. an adoption or deployment incentive.

Following award decisions, successful applicants will be required to sign an Award Agreement between the NHS Organisation and the Department of Health.

## 8 Next Steps

### 8.1 How to apply

If having read this prospectus, you would like to make an application to the Information Sharing Challenge Fund, then you should:

- Download the application form and legal agreement from the [Department of Health \(DH\) website](#)
- Ensure your project addresses one of the themes (ITK capabilities) detailed in section 3.1 of this prospectus
- Determine whether your application will be aimed at the development, adoption or deployment category
- Ensure you have senior management backing from your organisation
- Ensure your system suppliers are supportive
- Develop your benefits realisation measures
- Develop your proposed project and financial plans
- Complete the self assessment section of the application form and provide supporting evidence
- Submit your completed application and legal agreement by 12.00 noon on 5/10/2012 to [toolkit.enquiries@nhs.net](mailto:toolkit.enquiries@nhs.net)

### 8.2 Contact Us

Interoperability Investment Programme Team

Address: 2nd Floor, Princes Exchange, Princes Square, Leeds, LS1 4HY

Email: [toolkit.enquiries@nhs.net](mailto:toolkit.enquiries@nhs.net)

Website: <http://www.connectingforhealth.nhs.uk/itk>