NHS
Litigation Authority

NHSLA and CNST Risk Management Standards 2012-13

Evidence Template Guidelines

MANAGING RISK
DNV

Contents

Contact

If you have any questions about the technical side of using the evidence template, please contact the Healthcare Support Team at nhsla@dnv.com or 016 1 477 3818.

If you have any questions about the sort of evidence you need to provide, please contact your assessor.

Key points

If you do not follow the key points the evidence template may not work when you try to populate it or it may not work when you transfer the evidence template to your assessor's laptop.

Key points

Below we have listed some really crucial information to take note of. These issues have impacted on previous assessments where the evidence template has not worked correctly. If this happens and your assessor can't find the information they need, and they are not able to complete the assessment, this could mean you fail if there isn't time to see the evidence they need to.

- DO NOT copy and paste directly into the cells as this will lock the cell and you won't be able to make any more edits.
- DO NOT use long document or folder names as this stops the hyperlinks working.
- If you have more than one piece of evidence for a minimum requirement, insert a new row beneath.
- Before adding your evidence, read the guidance on hyperlinks.
- You MUST test transferring the evidence template folder BEFORE the assessment day (contact nhsla@dnv.com or 0161 477 3818 if unsure how to do this).

Checklist

A. Set up your folders and evidence template	
1. Check you have Excel 2003 or later	☐
2. Download the evidence template for your type of organisation, and for the correct year (2012-13) from the NHSLA website	☐
3. Set up your evidence folders as per this guidance document	☐
4. Complete the summary sheet	☐

B. Find out what sort of evidence you must provide	
5. Read the introduction in the standards manual	☐
6. Read the detailed standards	☐
7. Read the appendices in the standards manual	☐
8. Conduct a self-assessment	☐

C. Add your evidence	
9. Read this guidance document (especially important for anyone who will be adding evidence into the evidence template)	☐
10. Check that your hyperlinks work	☐
11. Include a description of where evidence is located in case the hyperlinks fail	☐
12. Check that you can transfer the evidence template and all the evidence to a memory stick and onto another laptop (contact nhsla@dnv.com or 0161 477 3818 if unsure how to do this)	☐
13. Check again that your hyperlinks work	☐

A. Set up your folders and evidence template

This section guides you step by step through how you MUST set up your evidence template and folders for your evidence.

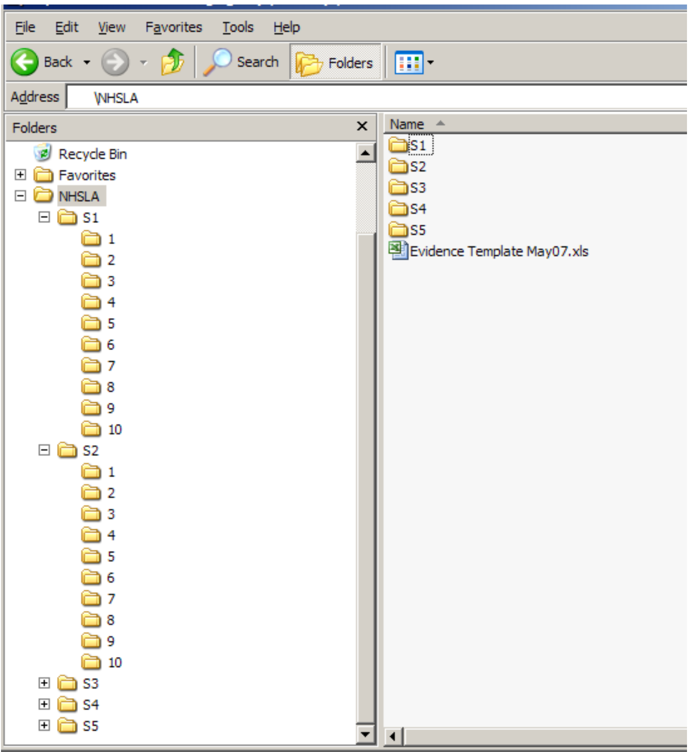
1. Set up your folder for the assessment

You MUST use the folder structure and names shown here

1.1. Create a folder called ‘NHSLA’ or ‘CNST’

1.2. Create a subfolder for each standard, and then create subfolders for each criterion

1.3. Save the evidence template itself in the ‘NHSLA’ or ‘CNST’ folder

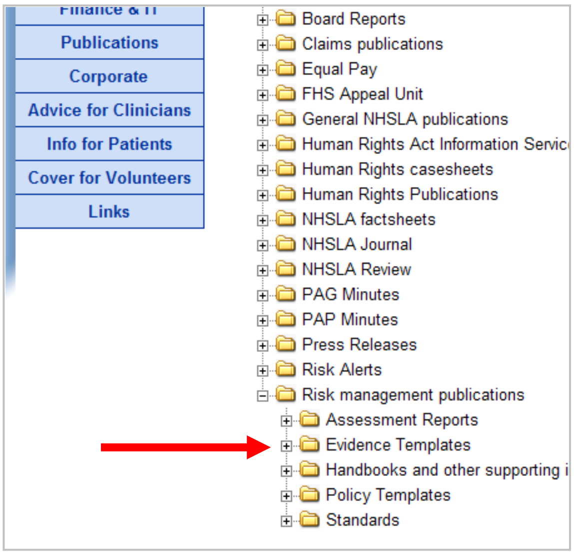


Key points

- YOU MUST save the evidence template in a single folder along with subfolders for evidence within the same folder.
- DO NOT move evidence or the evidence template once you have started inserting hyperlinks; the hyperlinks will no longer work.
- DO NOT use very long names for documents and folder names as this can stop the hyperlinks working.

2. Download the evidence template

The evidence templates are located on the NHSLA website under Publications \ Risk Management Publications \ Evidence Templates

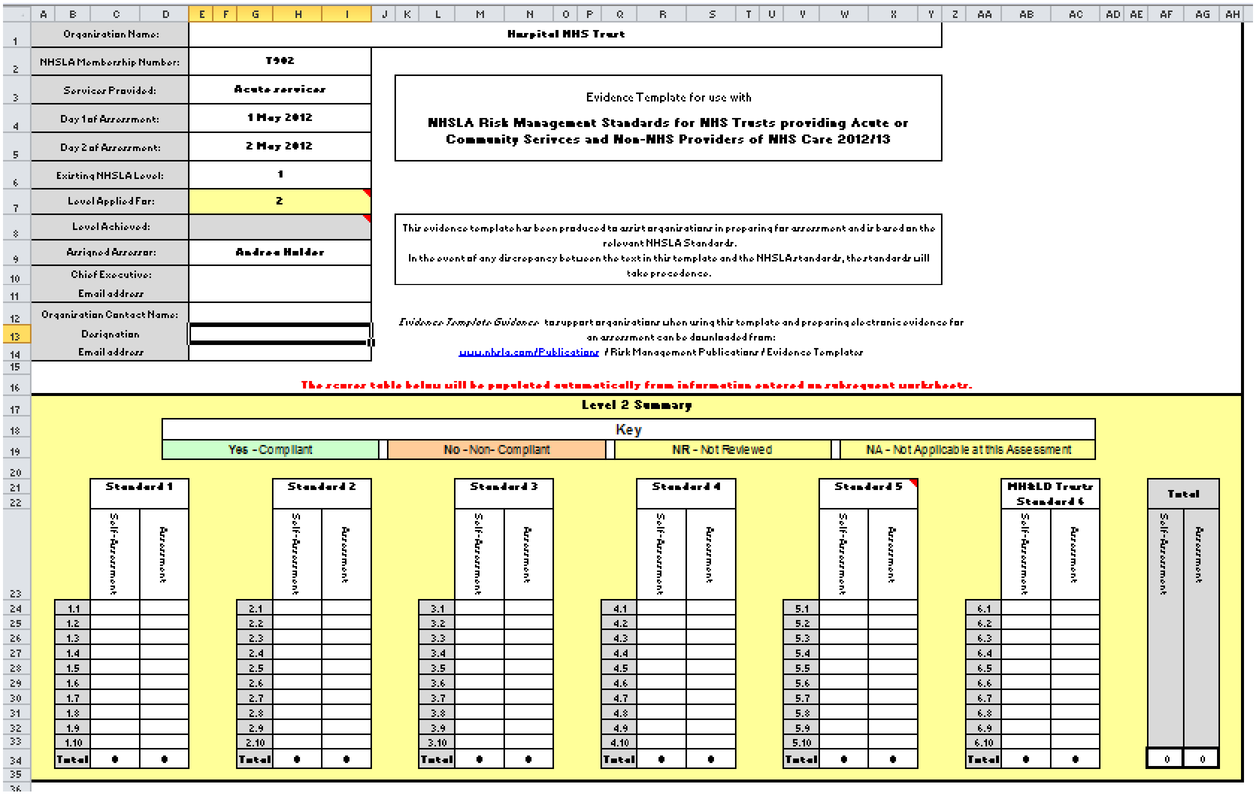


3. Complete the summary sheet

3.1. Fill in the summary sheet before you start to populate the evidence template

3.2. If the information you need is not on a drop down list, you can enter information manually

3.3. If you are unsure about what services your organisation provides, contact your assessor



Key points

- If you do not fill in the summary sheet, the evidence template will not pick up the scoring and other areas of the evidence template will not be updated.

B. Find out what sort of evidence you need to provide

Most of the information you need on providing evidence is in the introduction to the manual. This section provides you with reminders and pointers on what to pay extra attention to.

1. Read the standards manual in detail

1.1. Information on the evidence required at each level is found in ALL of the following:

- The introduction to the standards manual
- The detailed standards
- The appendices in the manual

1.2. Everyone involved in preparing for the assessment should become familiar with the standards and the assessment process

1.3. Give yourself enough time to contact your assessor with any queries that you may have

2. Self-assessment

2.1. You need to undertake a self-assessment to work out if you are ready for assessment, and where your areas of weakness lie

2.2. The evidence template can be used for this, and includes space for action planning

3. Using meeting minutes as evidence

3.1. If you use minutes of a committee or group to demonstrate compliance with a criterion, you will have to show that the committee/group is functioning effectively

3.2. If you use minutes as evidence of attendance and reporting arrangements, the committee or group should be operating in line with its own terms of reference

3.3. The number of sets of minutes that you need to provide as evidence will depend on what is stipulated in the terms of reference

3.4. The minutes should record those who attended the meeting (including their designation), the issues discussed and the actions agreed

3.5. You should present the minutes of meetings held over the previous 12 months to show that the committee or group is fulfilling its responsibilities

3.6. You must provide full minutes. Extracts from minutes will not be accepted

Level 1

1. Your documents must be up to date and in use

This applies at all levels. The assessor will select 10 approved documents at random to test that they are in use and correctly approved. If not, you will not pass the criterion that the document relates to. Draft documentation, or planned or proposed systems that have not been implemented, will not be admissible.

Level 2

1. Your documents must be up to date and in use

The assessor will select 10 documents at random to test that they are in use and correctly approved. If not, you will not pass the criterion that the document relates to. Draft documentation, or planned or proposed systems that have not been implemented, will not be admissible.

2. Provide practical evidence of implementation

Your assessor will be looking for practical evidence like health records, risk assessments, incident reports, meeting minutes, training records, etc. Audits and monitoring do not provide evidence of implementation.

3. Your evidence must cover the correct timeframe

The introduction to the manual explains the 12 month timeframes that evidence can be provided from.

4. Live patient health records are going to be assessed

At Level 2 the assessor is going to look at live patient health records for both maternity and general assessments. Look in the detailed standards for the criteria where this applies. A compliance level of 75% implementation has to be shown.

Level 3

1. Your documents must be up to date and in use

The assessor will select 10 documents at random to test that they are in use and correctly approved. If not, you will not pass the criterion that the document relates to. Draft documentation, or planned or proposed systems that have not been implemented, will not be admissible.

2. You must include evidence of where you have addressed shortfalls

Whenever your monitoring shows non-compliance, you must show evidence of addressing the shortfalls you have found. For the training related criteria in the general standards, it is specified that where less than 95% of those who have completed training have done so, you have to show how you are addressing this.

3. Your evidence must cover the correct timeframe

This applies to maternity services only. The introduction to the manual explains the 12 month timeframes that evidence can be provided from.

4. Live patient health records are going to be assessed

At Level 2 and 3 the assessor is going to spot check live patient health records for both maternity and general assessments. Look in the detailed standards for the criteria where this applies. A compliance level of 75% implementation has to be shown.

Key points

- Look out for the appendix in the standards manual which lists all the changes that have been made since last year.
- Speak to your assessor about your data collection period to check you are taking the right approach.

C. Add your evidence

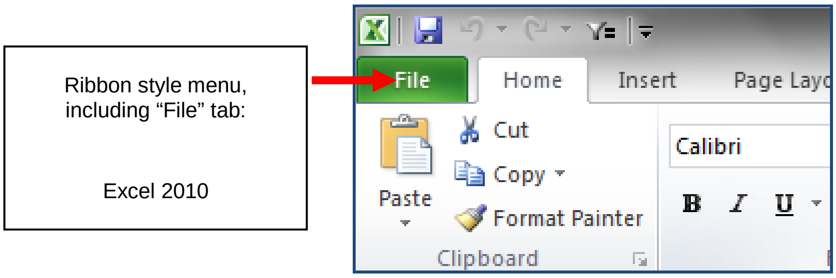
This section gives an overview of how to add your evidence. Section D in this guidance provides more detail on the practical task of adding hyperlinks and inserting rows.

1. Find out which version of Excel you have

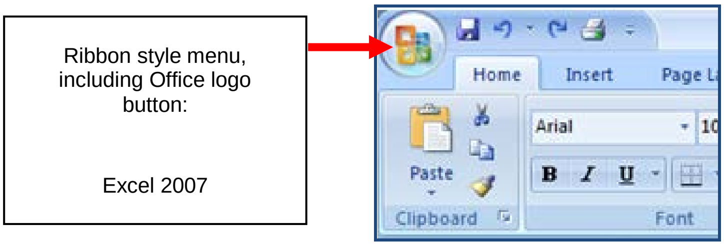
This will impact on some of the later guidance on hyperlinks which is slightly different for different versions. In the next section of this guidance we have given instructions for using 2003, 2007 or 2010.

If you're not sure which version of Excel you're using, here's how to check:

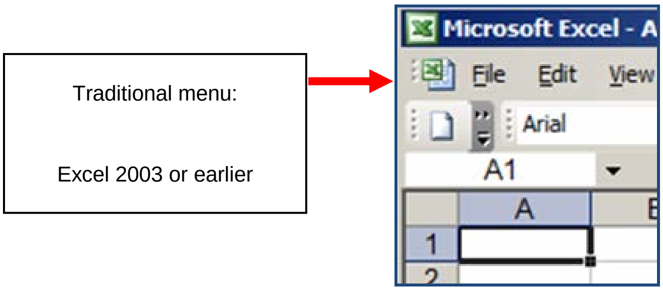
1.1. If you have a "ribbon" style menu at the top Excel, including a "File" tab, you're using Excel 2010. The top right corner of the Excel window will look something like this:



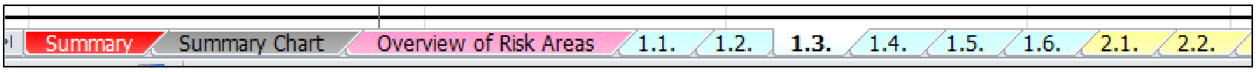
1.2. If you have a "ribbon" style menu at the top of Excel, including a Microsoft Office logo button, you're using Excel 2007. The top right corner of the Excel Window will something look like this:



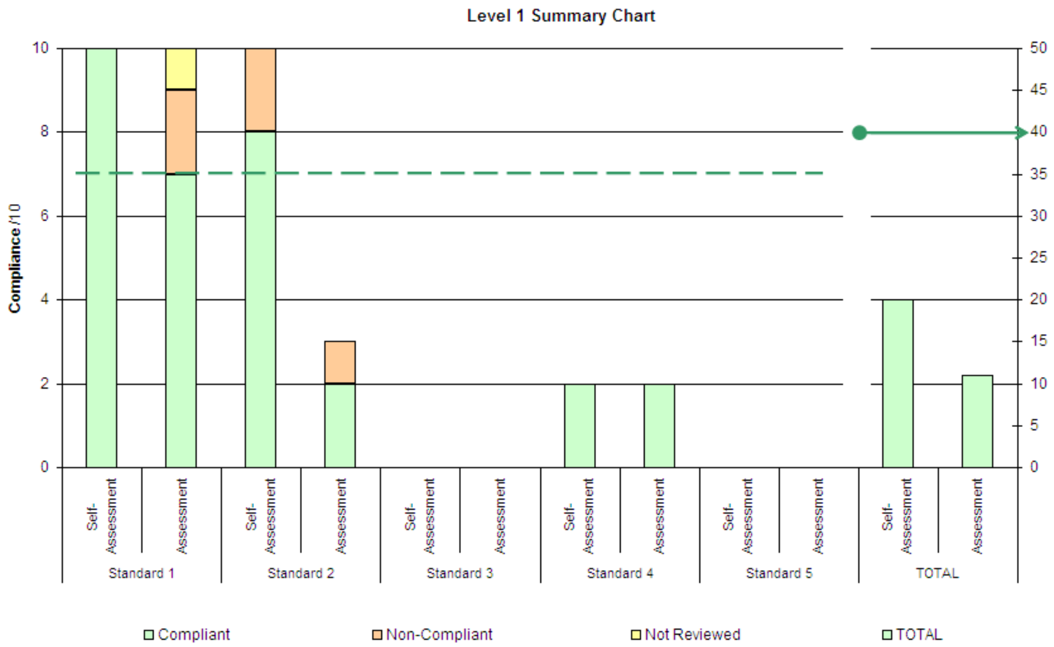
1.3. If you have a traditional selection of menus, "File", "Edit", etc, at the top of Excel, you're using Excel 2003 or earlier. The top right corner of the Excel window will look something like this:



2. An overview of the worksheet tabs



Summary	This contains all the information about your organisation. It also shows a record of compliance for each criterion, including self-assessment scores which are populated automatically.
Summary chart (Image shown below)	This shows compliance for each standard, including self-assessment scores. There are two axis – the section on the left shows compliance per standard, and the section on the right shows compliance for the whole assessment. The green dashed line marks the 7 criteria needed to pass a standard. The solid green line marks the minimum score of 40 required to pass the assessment.
Overview of risk areas	This is a matrix which contains hyperlinks to each criterion. The hyperlinks only work if you have selected a level applied for on the summary sheet.
Numbered tabs	Each worksheet is for one standard at a particular level. For example, 1.1 contains all the criteria in Standard 1 for a Level 1 assessment; 1.2 contains all the criteria in Standard 2 for a Level 1 assessment and so on.
Health record check	These tabs are for the use of the assessor only to record compliance for those criteria which involve looking at patient health records.
Document check	This tab is for the use of the assessor only to record compliance when they check 10 random documents are approved and in use.



3. Add your evidence to the template

	A	C	D	E	F	G	H	I	J	K	L
1	Criterion number	Criterion and minimum requirements	Paper or Electronic copy	Name of approved document	Electronic file hyperlink/name	Location of relevant information	Document version no. and approved date	Initials of contact name for document	Compliant? (Organisation)	Organisation's comments	Compliant? (Assessor)
2											
3	1.1.1	The organisation has an approved risk management strategy.		Risk Management Strategy	Risk Management Strategy						
4		As a minimum, the approved documentation must include a description of the:									
5	a	organisational risk management structure detailing all those committees/sub-committees/groups which have some responsibility for risk	E	Risk Management Strategy	Organisational risk management structure	Page 4	V4.2, Dec 2010	FD	Yes		
6	b	process for board or high level committee review of the organisation-wide risk register									
7	c	**process for the management of risk locally, which reflects the organisation-wide risk management strategy**									
8	d	duties of the key individual(s) for risk management activities									
9	e	authority of all managers with regard to managing risk									
10	f	process for monitoring compliance with all of the above.									
11								**Compliant**	**Yes**	**Compliant**	

Column D	Select 'P '(paper) or 'E' (electronic) or 'N/A' from the drop-down list.
Column E	Type the name of the relevant approved document.
Column F	Insert a hyperlink to either a whole document or the relevant section of a document.
Column G	Make a note of the location of the evidence within the document (in case the hyperlink fails) or if the evidence is a paper copy. Include page or reference numbers. This MUST be completed in all cases.
Column H	Note the version number and approved date at Level 1. At Level 2 and 3 add the data collection period.
Column I	Choose 'Yes' or 'No' from the drop-down list to indicate compliance against each minimum requirement.
Column J	Choose 'Yes' or 'No' from the drop-down list to indicate compliance with the overall criterion.
Column K	Include any explanatory comments or other notes.
Columns Q-T	The evidence template can be used to help plan the actions needed to achieve compliance. Space is provided for: actions required, people involved, target date and associated cost.

Key points

- You can provide your evidence in paper or electronic format, or a mixture of both
- You need to make sure that your assessor can find the evidence easily at assessment
- For all evidence you must provide information on where in a document or other location your assessor will be able to find the evidence
- If you use electronic evidence, you can also create hyperlink which make it much easier to check the evidence you have collected and to show your assessor exactly where to look

D. The geeky stuff (Excel 2003)

This section guides you step by step through the fiddly bits to make sure your evidence template works properly. It is recommended that someone who enjoys using Excel helps you with this stage.

1. Add navigation buttons in Excel and Word

When using hyperlinks it is very useful to add navigation buttons to your toolbars in both Word and Excel. These are like the 'back' and 'forward' buttons that are visible when you use the internet.

1.1. Go to the 'View' menu on the toolbar in Excel or Word

1.2. Select 'Toolbars'

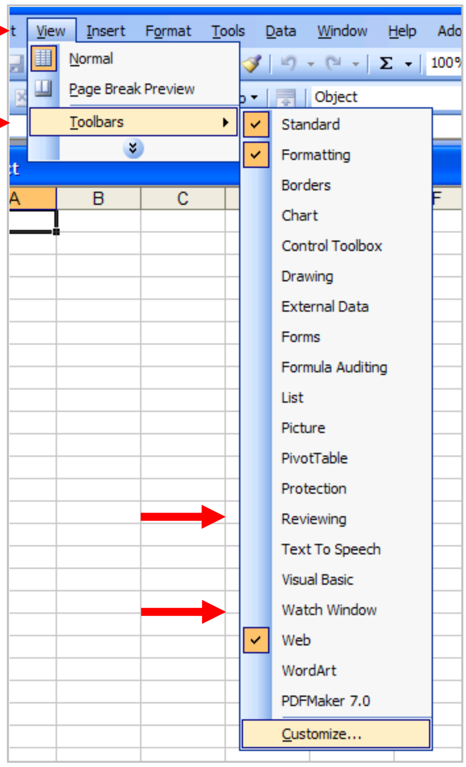
1.3. Select 'Customize'

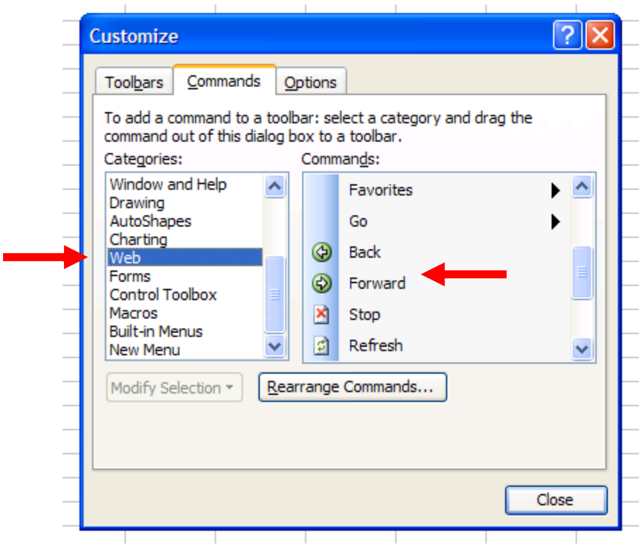
1.4. Choose the 'Commands' tab on the pop up window as shown below

1.5. Scroll down to the 'Web' category

1.6. Scroll down to the 'Back' and 'Forward' commands

1.7. Drag each one from the box to your toolbar area on the evidence template





Key points

- You MUST complete the document name, version and location columns for all evidence in case the hyperlinks fail.
- With PDF documents it is not possible to create links to a section of the document. If possible get the original word document from the organisational archive or author for ease of use. Otherwise accurately complete Column G of the evidence template at Level 1 to direct the assessor to the relevant section.

2. Add your hyperlinks

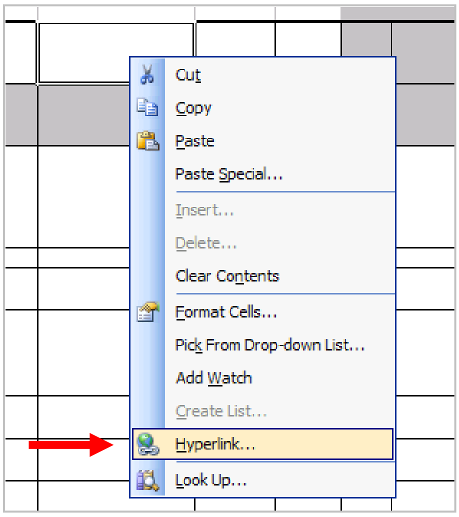
You can insert hyperlinks to:

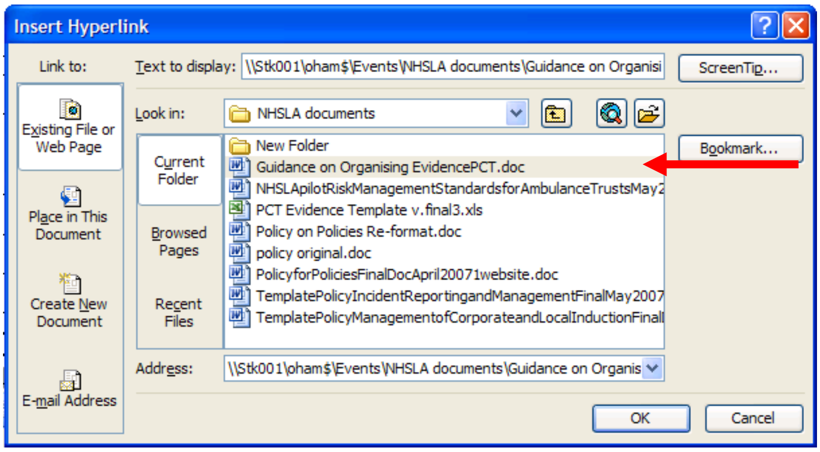
- A whole document
- A section of a document (except for PDFs)

3. How to create a hyperlink to a whole document (only option for pdf)

3.1. Right click on the cell where you want to insert the hyperlink and Select ‘Hyperlink’ from the menu.

3.2. The screen below will open; browse through the folders to locate the document you want and double click on it to select it.





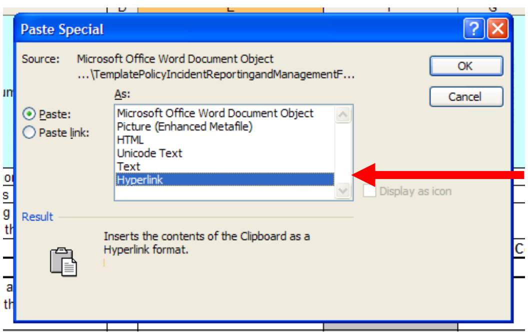
4. How to create a hyperlink to a section of a document

4.1. Go to the relevant document and copy the first word in the title of that section, or a word from the start of the paragraph.

4.2. Go to the cell in the evidence template where you wish to insert the hyperlink.

4.3. Go to the Edit menu on the toolbar and select ‘Paste Special’. The screen below will appear. Select ‘Hyperlink’ and click OK

4.4. The link will appear in the cell and clicking on it takes you directly to the correct part of the document.



5. How to delete a hyperlink

You can delete hyperlinks by either:

5.1. Right click on the cell, and select ‘Remove Hyperlink’ from the menu that will appear.

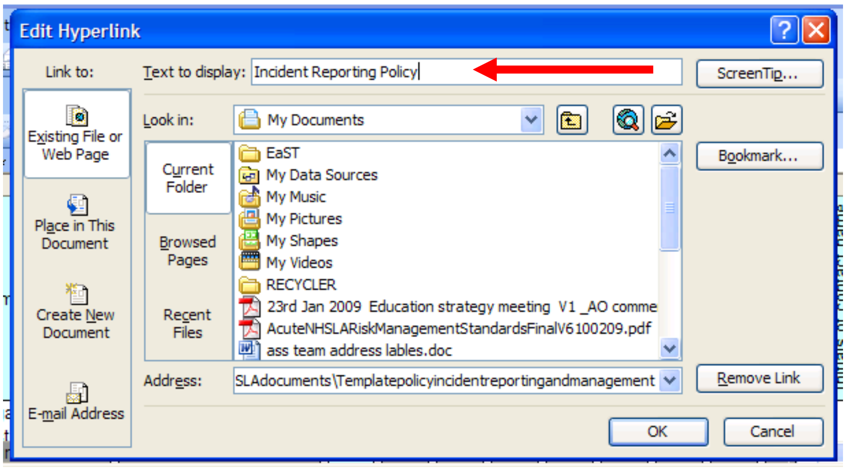
5.2. From the formula bar at the top of the screen delete the contents of the cell; this will delete both the link and text from the cell.

6. How to edit a hyperlink

6.1. Right click on the cell, and select ‘Edit Hyperlink’ from the menu that will appear.

6.2. The screen below will appear. The path to the document is shown in the ‘Address’ bar. You can edit the text that will be displayed on the evidence template by editing the ‘Text to display’ bar.

6.3. This can be used if you want to rename the link with a more useful title indicating the evidence that it shows.



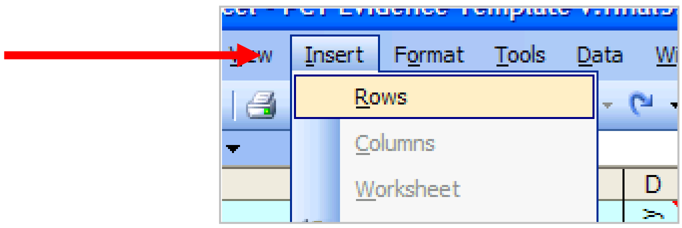
7. How to insert a row

If you have more than one piece of evidence for a minimum requirement or criterion you will need to insert additional rows.

7.1. Select a row or a cell below where you want your extra one

7.2. Go to ‘Insert’ on the toolbar and select ‘Rows’; the row will be inserted <u>above</u>.

7.3. Do not insert more rows that you need as they cannot be deleted after they have been inserted (unless you use ‘Undo’ immediately after inserting a new row).



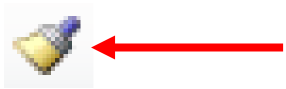
8. How to format a row

8.1. When you insert rows for the criterion and for the last minimum requirement you will need to format the rows so they look like the other minimum requirement rows and have cell border.

8.2. Select a row with correct formatting

8.3. Click on the format painter brush

8.4. Select the row where you want to change the formatting



9. How to transfer your evidence template onto a memory stick

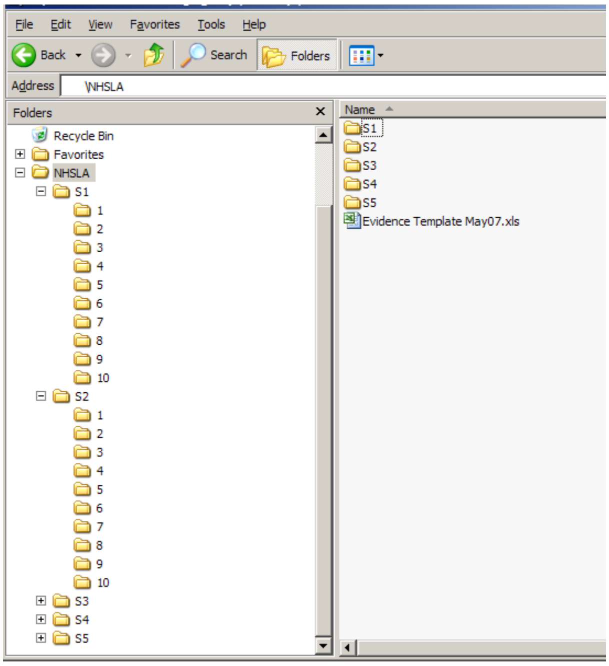
You need to test transferring your evidence template and folders onto a memory stick BEFORE the assessment date.

9.1. Make sure your evidence template and all the evidence folders are in one overarching folder, for example called 'NHSLA' or 'CNST'

9.2. Copy the whole folder and paste onto your memory stick

9.3. Put the memory stick onto a new computer or laptop

9.4. Check that the hyperlinks work



Key points

- If you are unsure how to transfer onto a memory stick contact nhsla@dnv.com or 0161 477 3818 BEFORE you move the folder. This is an area where several organisations have experienced problems in the past and have lost the links from their evidence template.
- Do not test the evidence template links on the memory stick version until you have moved the memory stick to a new computer or laptop.
- Copy the folder (NOT cut) so that you still have an original for back up.
- Include (in column H) the location of the evidence in your documents in case the hyperlinks fail.

E. The geeky stuff (Excel 2007 and 2010)

This section guides you step by step through the fiddly bits to make sure your evidence template works properly. It is recommended that someone who enjoys using Excel helps you with this stage.

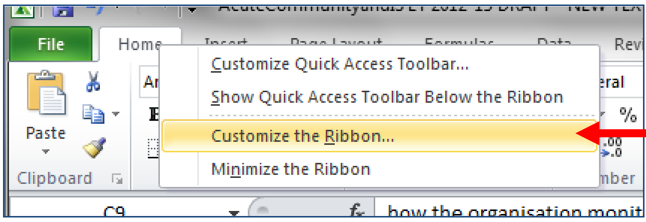
1. Add navigation buttons in Excel and Word and 'Paste as Hyperlink' option

When using hyperlinks it is very useful to add navigation buttons to your toolbars in both Word and Excel. These are like the 'back' and 'forward' buttons that are visible when you use the internet.

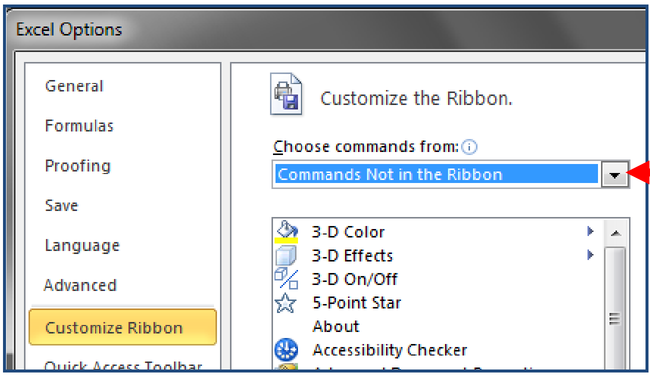
OR you can just use Alt + ← to go back once you have followed a hyperlink (and this is good to let other users know about so they don't have to add the navigation buttons)

1.1. Right click on the 'Home' ribbon

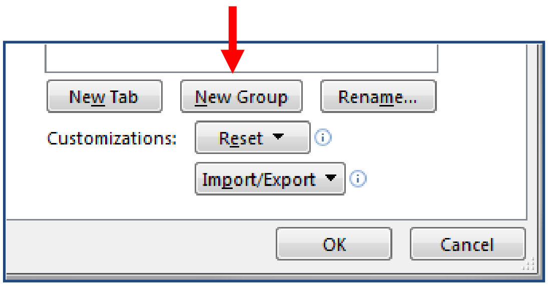
1.2. Select 'Customize the Ribbon' for the pop-up menu



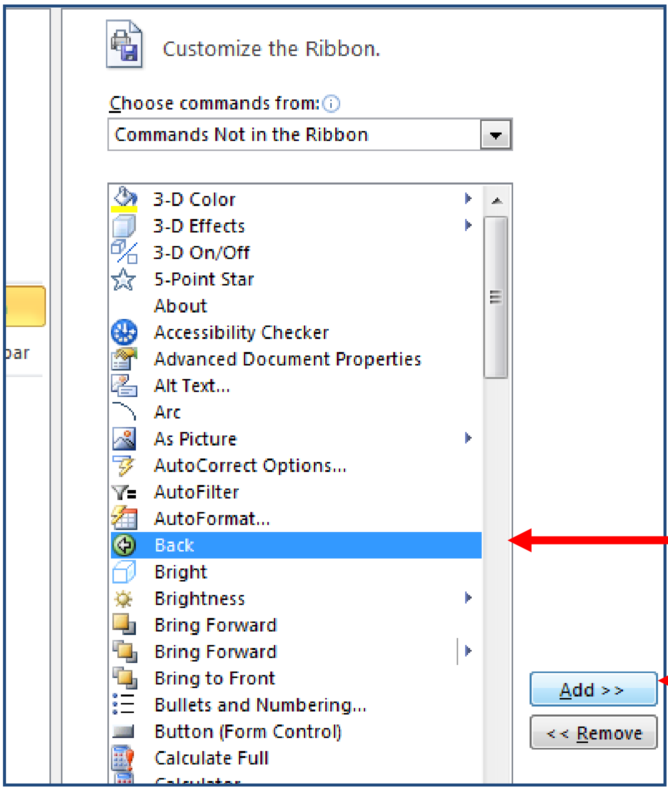
1.3. The 'Excel Options' or 'Word Options' window will appear. Change the 'Choose commands from:' drop down box to show 'Commands Not in the Ribbon'



1.4. Click 'New Group', found near the bottom left corner of the window



1.5. Find ‘Back’ in the list of available commands, then click ‘Add’



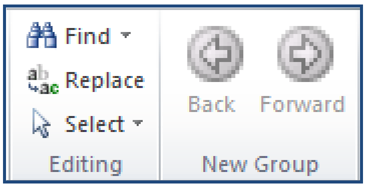
1.6. In the same way, find ‘Forward’ in the list of commands and click ‘Add’

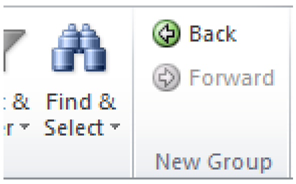
1.7. Then find ‘Paste as Hyperlink’ and click ‘Add’

1.8. Then click ‘OK’ in the bottom right hand corner of the window

1.9. The Back, Forward and Paste as Hyperlink buttons will now appear at the right hand end of your Home ribbon tab

Here’s what they look like in Word: And in Excel: Hyperlink icon:





Key points

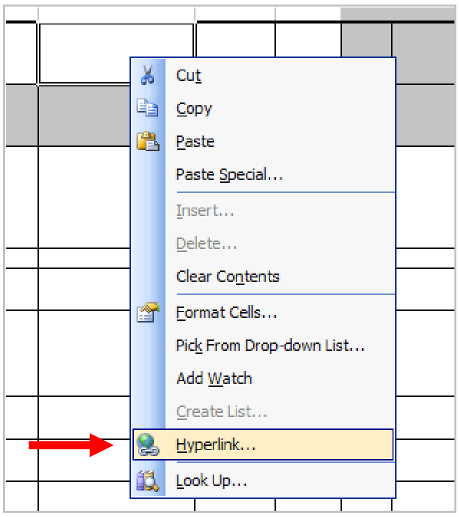
- You MUST complete the document name, version and location columns for all evidence in case the hyperlinks fail.
- With PDF documents it is not possible to create links to a section of the document. If possible get the original word document from the organisational archive or author for ease of use. Otherwise accurately complete Column G of the evidence template at Level 1 to direct the assessor to the relevant section.

2. Add your hyperlinks

You can insert hyperlinks to:

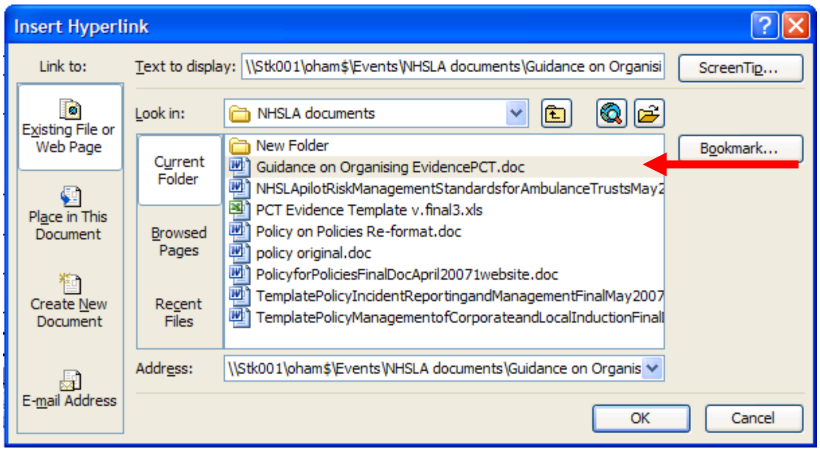
- A whole document
- A section of a document (except for PDFs)

3. How to create a hyperlink to a whole document (only option for pdf)



3.1. Right click on the cell where you want to insert the hyperlink and Select 'Hyperlink' from the menu.

3.2. The screen below will open; browse through the folders to locate the document you want and double click on it to select it.



4. How to create a hyperlink to a section of a document

4.1. Go to the relevant document and copy first word of the title of that section, or a word from the start of the paragraph.

4.2. Go to the cell in the evidence template where you wish to insert the hyperlink.

4.3. Go to the your home ribbon where you have added the 'Paste as Hyperlink' icon

4.4. The link will appear in the cell and clicking on it takes you directly to the correct part of the document.

5. How to delete a hyperlink

You can delete hyperlinks by either:

5.1. Right click on the cell, and select 'Remove Hyperlink' from the menu that will appear.

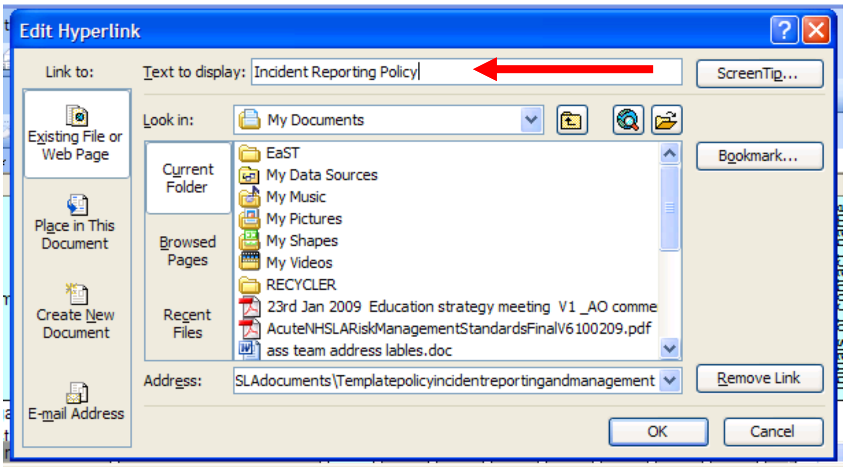
5.2. From the formula bar at the top of the screen delete the contents of the cell; this will delete both the link and text from the cell.

6. How to edit a hyperlink

6.1. Right click on the cell, and select ‘Edit Hyperlink’ from the menu that will appear.

6.2. The screen below will appear. The path to the document is shown in the ‘Address’ bar. You can edit the text that will be displayed on the evidence template by editing the ‘Text to display’ bar.

6.3. This can be used if you want to rename the link with a more useful title indicating the evidence that it shows.



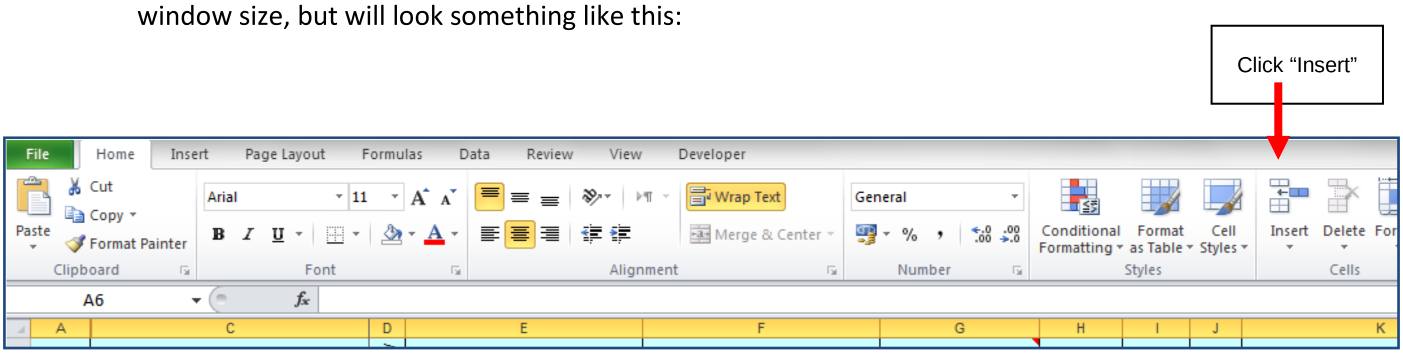
7. How to insert a row

If you have more than one piece of evidence for a minimum requirement or criterion you will need to insert additional rows.

7.1. Select a row or a cell <u>below</u> where you want your extra one

7.2. On the Home ribbon tab, click “Insert”.

7.3. The ribbon layout and the appearance of the “Insert” icon vary slightly, depending on your window size, but will look something like this:



7.4. Do not insert more rows that you need as they cannot be deleted after they have been inserted (unless you use ‘Undo’ immediately after inserting a new row).

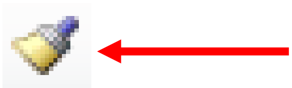
8. How to format a row

8.1. When you insert rows for the criterion and for the last minimum requirement you will need to format the rows so they look like the other minimum requirement rows and have cell border.

8.2. Select a row with correct formatting

8.3. Click on the format painter brush

8.4. Select the row where you want to change the formatting



9. How to transfer your evidence template onto a memory stick

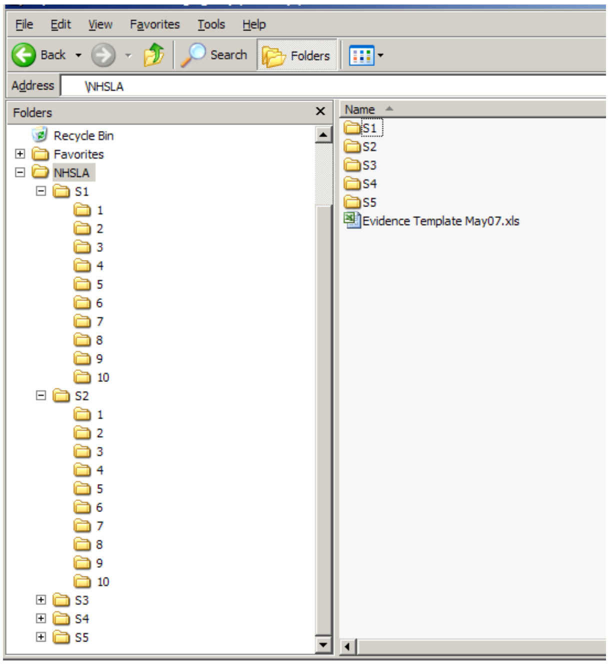
You need to test transferring your evidence template and folders onto a memory stick BEFORE the assessment date.

9.1. Make sure your evidence template and all the evidence folders are in one overarching folder, for example called 'NHSLA' or 'CNST'

9.2. Copy the whole folder and paste onto your memory stick

9.3. Put the memory stick onto a new computer or laptop

9.4. Check that the links work



Key points

- If you are unsure how to transfer onto a memory stick contact nhsla@dnv.com or 0161 477 3818 BEFORE you move the folder. This is an area where several organisations have experienced problems in the past and have lost the links from their evidence template.
- Do not test the evidence template links on the memory stick version until you have moved the memory stick to a new computer or laptop.
- Copy the folder (NOT cut) so that you still have an original for back up.
- Include (in column H) the location of the evidence in your documents in case the hyperlinks fail.