LENSES

The assessment lenses used in this process are a customised version of those used by the NHS Burden Advice and Assessment service. There are six lenses used in this model:

Gathering

Any increase or decrease in the cost or effort required to gather and record data for the purpose of data collection.

Assurance of data quality

The cost and effort involved in checking for and correcting errors in data that has been gathered for the purpose of data collection.

Extraction and Transformation

The cost and effort involved in drawing data directly from one or more off-line or information systems for the purpose of data collection.

Transmission

The cost and effort involved in the sending of data to the demand-side customer.

System change and development

The cost and effort involved in the creation of, or changes to information systems, to meet the requirements of data collection.

Training and guidance

The cost and effort involved in the provision and receipt of the knowledge and skills needed to be able to comply with the requirements of data collection.

ASSESSMENT PROCESS

The heart of the assessment process is the scoring matrix. There are two ways to complete this – a summary assessment or a full assessment.

SUMMARY ASSESSMENT

These summary scores are split between setup and run. Setup covers the effort and impact of implementing the requested change and Run covers the effort of operating the change. The change could cover anything from a reasonably simple re-coding of one or more fields, to major changes where new data items are required that are not currently collected.

The guidance helps frame what the score should be by calling out the main areas of impact. In the case of this summary example, these areas are changes in process, systems, training and timing.

Within the scoring range, the assessor should consider how close to the boundary of the next level of guidance their assessment is.

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SUMMARY ASSESSMENT – SETUP

	0	1-3	4-7	8-10
Summary scores	No impact	Almost no change to processes or systems. Can be fitted into business as usual against a known release window. Limited training or guidance required.	Minor to medium changes to systems and processes. Difficult to resource. Date for go-live sub-optimal. Requires bespoke training.	Significant change to systems and/or processes. Detrimental impact on ability to do other activities. Cannot be serviced from existing capacity. Release date very challenging. Requires training / re-skilling.

SUMMARY ASSESSMENT – RUN

	0	1-3	4-7	8-10
Summary scores	No impact	Business as usual (BAU). Operated through processes and systems. No discernible impact on current operating model.	Increased resources. Sustained opportunity cost. Complexity in planning. Requires specialist support.	Sustained increased resources required. Conflict with other business priorities. Cannot be systemised - lots of manual checking. Requires subject matter expert (SME).

It should be noted there is a consistent split between scoring boxes. White (0) records zero discernible change. Green (1-3) is marking the change as trivial in terms of impact. Orange (4-7) records a cost of lost opportunity as resources / budget need to be re-allocated. Red (8-10) flags a serious issue for the data request. One of the outputs from an assessment might be a re-framing of requirements or a different solution option for multiple red categorisations.

FULL ASSESSMENT

If a full impact assessment is needed – and this will be determined on a change by change basis as part of the wider governance process – the same approach is to be taken but on a more granular basis. The assessment is still split between setup and run, but now six ‘lenses’ categorise the change in more detail.

The boundaries between categories remain the same. The difference is the assessor needs to consider the lenses in isolation. This is not always simple, as overlaps between lenses are apparent in many changes. There are additional areas in the analysis form where context or notes can be added.

FULL ASSESSMENT – SETUP

	0	1-3	4-7	8-10
Gathering	No impact	Data already exists and definitions are well understood. Few or one item to be collected, use case well understood. Data collected only once in cycle. Initial release date can be met by current business as usual (BAU) processes and systems.	Data not currently collected but simple to source. Derivation / calculation may be possible from current data collected. Data items are not that numerous or hard to collect. Use case is justified but may require better definition. Data collected more frequently than annual return.	Data not currently collected or easily available. Data cannot be easily derived. Large number of disparate items to be collected. Use case not clear or not fixed. New return may be required.
Assurance of data quality	No impact	Requirements for data quality are well understood and achievable. Coverage is low. Quality assurance (QA) support through management intelligence (MI) / dashboards is simple to build. Quality rules are simple to understand.	Requirements understood but some complexity in coverage. Likely to require multiple submission. Multiple quality rules required with different tolerances, MI may not fully support requirement.	Requirements complex and coverage extensive. Creates new rules and changes existing ones. Quality criteria may be hard to meet. Requires multiple returns.
Extraction and transformation	No impact	Data is available, understood, has a fixed definition and is in natural form or requires trivial transformation.	Data is available, definitions may not be fixed / standard. Extraction has some complexity and transformation may include manual processes.	Data very hard to locate and requires significant burden to extract. Definitions not standard so manual process required for both transformation and manual checking of validity.
Transmission (load)	No impact	Simple transmission - automated and event-driven. Simple MI to validate transmission.	Some manual steps required before / post transmission. Some MI to validate transmission.	Complex transmission profile with many manual steps and different data sources. MI not in support.
System change and development	No impact	Trivial or no system change. Small changes may be required to definitions / business process. Small amount of analysis required. System change resource available to support proposed first capture date.	System change required but limited in scope and reach. Would suit small project or sprint. Some requirements and functional analysis / solution options required. System change resource may not be sufficient to support proposed release window.	Major system development probably requiring business case, significant analysis, development, testing, implementation and integration planning required. System change resource is not sufficient or available to support proposed release window.
Training and guidance	No impact	Very small training requirement for one or few staff. Only small changes to guidance.	Training for a number of staff but limited in scope and in line with current practice. Guidance may require some analysis and communication before change.	New features require new training material to be developed. Affects many staff. New guidance needs to be developed, written and approved.

The same approach is taken when considering the assessment of run.

FULL ASSESSMENT – RUN

	0	1-3	4-7	8-10
Gathering	No impact	Data trivial / simple to repeatedly collect. Definitions stable. Few submissions only. Simple to roll into BAU.	Some additional time / process to collect but within current BAU. Submit more than once per cycle. Time between setup and run is too short.	Data hard to collect, high amount of manual processing and no way to systemise the collection process. Moving from setup to live very challenging.
Assurance of data quality	No impact	Simple rules and coverage mean no or very little further data quality work required to translate internal data to external submission.	Additional manual effort often required to meet quality goals / rules. MI not well aligned to support few submissions.	Complex rules and coverage will lead to multiple resubmissions to reach required level of quality. Manual processes always required.
Extraction and transformation	No impact	Simple, automated extraction and load requiring very little or no manual intervention.	Authoritative source of data may change. Some manual extract-transform-load (ETL) processes required.	Data may come from multiple conflicting sources. Impossible to automate extraction. High level of manual ETL process.
Transmission (load)	No impact	Automated transmission. Simple to validate success.	Manual checking required before transmission but can be specified in repeatable process.	Manual intervention required for transmission. Specialist knowledge required. Cannot translate into a procedure.
System change and development	No impact	No system changes.	Occasional workarounds required when system does not work with new edge cases.	Ongoing system changes required to support complex requirements.
Training and guidance	No impact	No training required. Guidance is simple to understand.	Requires ongoing training for new staff only.	Requires subject matter expertise at a high level for every submission. Single point of failure.

ONWARD USE

The calculations of burden can be used in three specific ways:

1. To show the impact of the change both in terms of setup and run. For more complex changes, a number of burden assessments will be performed against different solution options. The desired outcome is to deliver the change at the lowest possible burden for the supply-side while meeting the requirements of the demand-side.
2. To understand the difference between a supply-side best practice change implementation and those assessments returned by individual providers. This both informs the best practice assessment process and demonstrates those individual providers have the opportunity to reduce burden by moving towards this best practice.
3. To create an assessment for ‘net burden’ where the value of a change is considered against the impact using a standard methodology. This may not be applicable for all types of change.

FAQ

Do I need to complete the assessment for all six lenses or just the summary?

If this is a minor change, a summary is sufficient. A major change will need each individual lens to be completed. This will be clear from the supporting documentation you receive as part of the change request.

System changes will likely be required for each lens. Why is it only referenced once?

System change should be considered for each lens as part of that assessment. However, it has its own lens to unpack specifically the impact on system change as this is known to be a scarce resource and sometimes only available at certain times of the year.

The proposed release window will make our setup (and potentially run costs) higher; how do we show this?

As per system change, consider the timing of the initial release, and the time between initial release and first collection point as part of your analysis for each lens.

How do I capture the time taken to analyse the request / complete the assessment?

The assessment matrix does not look to capture this. We will consider it for a future release if evidence suggests it will enrich the scoring.

What's the cut-off point between setup and run?

Setup should be considered the time it takes to assess / prepare and implement before the first release collection point. Any future activity can be considered run.

Can I submit more than one assessment?

For complex change where more than one solution is possible, we encourage you to do so.

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