

Information Governance Toolkit Version 8

Release Note

30/06/2010

Overview

The IG Toolkit is now in its 8th year and has evolved to the point where it is being used by over 20,000 organisations and increasing annually.

It was decided that a major overhaul was needed for version 8, so back in July last year we started a consultation process with users from all backgrounds, from SHAs and NHS trusts through to GPs, pharmacists and commercial third parties. 300 questionnaires, 20 workshops and 2 phases of user testing later, version 8 is ready!

We have made significant changes to virtually all parts of the system (in line with the suggestions and views gathered), including a major consolidation of the IG requirements themselves.

A key improvement was to make the system more intuitive, so you should be able to get started without having to read any further (there is still a 'Quick Start' Guide for you to refer to though – see the link on the home page).

If, however, you want a summary of the key changes then please read on.

Feedback

Please send any feedback on the new changes to our dedicated feedback mailbox cfh.igtcomments@nhs.net (this mailbox is for feedback **only** – for general enquiries, use the 'Contact Us' page on the website).

Submission Deadlines

The final submission deadline for version 8 assessments for **all organisations** is **31st March 2011**.

Trusts and SHAs are additionally subject to 3-stage reporting. However, for version 8, the Baseline and Performance Update submission dates are both **31st October 2010**, effectively creating a two-stage assessment. This is to allow organisations time to acquaint themselves with the new evidence-based approach.

Therefore, by 31st October 2010, Trusts and SHAs should click the 'Submit Baseline' button and then immediately click the 'Submit Performance Update' button on the Assessment Summary page.

At any point, your next deadline (and the time remaining) is shown in the 'At a Glance' section on the Home Page and also on the Assessment Summary page (screenshot below).

At a Glance...

User Details:

Name:	Tony Tester
Organisation:	Nonchester Hospital Trust
Email:	tony.heap@nhs.net
Phone:	0113 999 9999
Last Log In:	Today at 08:54:43

Current Assessment:

Version:	Version 8
Status:	Started
Next Deadline:	31 October 2010 (Baseline) 129 days to go!

Go To The Assessments Page

Consolidated and Reduced Requirement Set

We have consolidated the requirement set and removed and/or merged duplicate or obsolete requirements.

We have also added new requirements. Some were existing requirements which now also apply to additional organisation types; two requirements are completely new to the IG Toolkit (8-323 and 8-324).

The table below summarises the changes. Full details of the changes to the requirement set are given in the [IGT Version 8 Change Note](#) (available on the IGT website), and are also listed against each individual requirement within the Toolkit.

No. of Req'ts	Acute	AMT	CTP	Dental	Eye Care	GP	MHT	Business Partner	NHS BSA	NHS Direct	Pharmacy	PCT	Prison Health	Secondary Use	Social Care	SHA
Version 7	62	47	17	N/A	N/A	14	62	27	50	52	17	54	16	17	51	36
Version 8	45	35	17	16	16	13	45	29	34	38	16	41	18	30	40	28
Change	-17	-12	0	N/A	N/A	-1	-17	+2	-16	-14	-1	-13	+2	+13	-11	-8

Look and Feel/Usability

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Information Governance Toolkit



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Tony Tester
Nonchester Hospital Trust

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Welcome to the Information Governance Toolkit

The IG Toolkit is an online system which allows NHS organisations and partners to assess themselves against Department of Health Information Governance policies and standards. It also allows members of the public to view participating organisations' IG Toolkit assessments. [Read more...](#)

New Users...

Before you get started, you should learn how to use this site by reading the ['quick start' guide](#).

? 'Quick Start' Guide

[Hide this section](#)

At a Glance...

User Details:		Current Assessment:	
Name:	Tony Tester	Version:	Version 8
Organisation:	Nonchester Hospital Trust	Status:	Started
Email:	tony.heap@nhs.net	Next Deadline:	31 October 2010 (Baseline) 129 days to go!
Phone:	0113 999 9999	Go To The Assessments Page	
Last Log In:	Today at 09:07:46	? Help on Assessments	

[Update user details](#)

What's New...

(See the [What's New page](#) for a full list)

[Subscribe using RSS](#)

As you will see from the Home Page (screenshot above), we have refreshed the look and feel of the Toolkit, and also made a number of usability improvements, such as:

- **Navigation Bar** - simpler and less cluttered
- **Big Yellow Buttons** - if you 'follow the yellow buttons' they will guide you through the assessment process
- **Context Help** - float your mouse over a question mark, other icon, button or input field to get specific help on that item
- **'Contact Us'** page
- **'At a Glance' information** about your account and your current assessment on the Home Page (visible once you have logged on)
- **Accessibility** - improvements for disabled users
- **RSS Feed** - to receive IG Toolkit news direct to your RSS reader.

See the online 'Quick Start' Guide for more details on these features.

Single Document Per Requirement

We have merged the on-line requirement, guidance document and checklists into a single on-line document for each requirement (screenshot below).

The format includes the following new features:

- PDF version for download/print
- Key requirement indicator
- Requirement origins - the source(s) from which the requirement is derived

- Material changes since last major version
- Details of relevant IG Training Tool modules
- Online glossary - float over a glossary term to see a definition; click for the full glossary.

Requirement Details ?

⚠ **[DRAFT]** There is an adequate Information Governance Management Framework to support the current and evolving Information Governance agenda

Requirement No:	8-101
Initiative:	Information Governance Management
Key Requirement:	Yes
Organisation Type:	Acute Trust
Version:	8.0

Previous Next Save Done Cancel

[Expand All](#) | [Collapse All](#) | Printable version (PDF) | [Downloads and booklets](#)

- + Requirement Description
- + Guidance
- + Attainment Levels
- + Knowledge Base Resources
- + Training
- + Requirement Origins
- + Changes

Online Checklists

Each requirement now includes a built-in checklist of *criteria* for each attainment level. When completing your assessment, you tick off the criteria that you have achieved and the system automatically determines your attainment level.

The criteria are cumulative – in order to achieve level 2 you must first achieve all criteria for level 1.

+ Attainment Levels

These are cumulative eg to achieve level 3 you must complete all criteria for Levels 1, 2 and 3.

0: Insufficient evidence to attain Level 1. ?

- **1:** There is an appropriately trained Information Security Manager/Officer, or access to such expertise and a documented plan in place to support Information Security Assurance, which has been approved by senior management or committee. ?

The following criteria must **all** be satisfied:

+ **a:** The role of Information Security Manager/Officer has been appropriately assigned. ?

+ **b:** There is a documented plan for Information Security Assurance headed up by the information risk lead (in the NHS this will be to the SIRO) that identifies the support necessary to ensure work related to information security management is appropriately carried out. ?

+ **c:** The plan has been approved by senior management, an appropriate committee or other established local governance process. ?

+ **2:** There is an appropriate Information Security framework in place with adequate skills, knowledge and experience to successfully co-ordinate and implement the Information Security agenda. ?

Evidence Upload

The system allows you to specify evidence to support your assessment (eg. a policy or procedure document). You can either upload evidence files to our server or reference an internet/intranet address or other location. The system tells you what evidence is expected for each requirement but there is inbuilt flexibility so you can also specify your own additional evidence.

In version 8, evidence is **mandatory for all trusts and SHAs**, but optional for all other organisations.

The screenshot on the next page shows the evidence upload screen.

1: There is an appropriately trained Information Security Manager/Officer, or access to such expertise and a documented plan in place to support Information Security Assurance, which has been approved by senior management or committee.

The following criteria must **all** be satisfied:

a: The role of Information Security Manager/Officer has been appropriately assigned.

General Comments:

The following evidence must **all** be obtained:

Evidence Required	Obtained	Location ?	Details ?
Named individuals' job description(s), or notes or e-mails assigning responsibility, or shared service agreements, or contractual agreements with external providers of information security expertise.	<input checked="" type="checkbox"/>	Upload File	
The appropriateness of the assignment will be in formal qualifications, or post holders membership of a relevant professional body, or certificates of training attendance records.	<input type="checkbox"/>	[select]	

[Add other evidence ?](#)

[Add an action ?](#)

b: There is a documented plan for Information Security Assurance headed up by the information risk

Knowledge Base Refresh

We have reviewed and updated the knowledge base documents.

Knowledge base documents can be accessed from within each requirement and also by selecting 'Resources' from the navigation bar and then 'Knowledge Base'.

Downloads and Booklets

You can now download the requirements in the following formats (for off-line working):

- Individual PDF document per requirement (all packed into a single ZIP file)
- All requirements in a single PDF booklet
- Each initiative (eg. IG Management, Information Security) in separate PDF booklets
- MS Excel spreadsheet

To access this feature, select 'Resources' from the navigation bar then 'Downloads' (you must be logged in).

Improvement Planning

We have added a number of features to allow you to plan improvement activities within your organisation:

- **Improvement actions** - you can define actions against each requirement to say what needs to be done to achieve the target level.
- **Customised Improvement plan** - you can produce a report which lists all outstanding actions and evidence for your organisation.
- **Requirement owners** - you can assign an owner to each requirement.
- **Reminder emails** - you can send regular and/or ad-hoc reminder emails to requirement owners with incomplete evidence and/or actions.

For more details on these features, select 'Help' from the navigation bar and read the 'Improvement planning' help topic.

These new features may be further developed and we welcome your feedback/suggestions on how to align the functionality with the way you work.

Assessment Scoring

You can now see your current (and target) percentage score on the Assessment Summary page (screenshot below).

We have also changed the assessment grading scheme. Instead of Red/Amber/Green, there are now just two grades:

- **Satisfactory** (coloured green): level 2 achieved on all requirements
- **Not Satisfactory** (coloured red): level 2 not achieved on all requirements

This change links directly to the NHS Operating Framework (Informatics Planning 2010/11) which requires all organisations to achieve level 2 in all requirements (not just key requirements).

Another reason for this change is that the previous grading scheme allowed organisations to be 'green' even if they were underperforming on certain requirements. The main purpose of the IG Toolkit is to drive improvement, and a 'Not Satisfactory' (red) status is an effective way to get IG high up on the corporate agenda.

Version 8 (2010-1)

Headlines:

Assessment Ref:	ASS/1000005
Status:	Started (view history)
Next Deadline:	31 October 2010 (Baseline) 129 days to go!

Progress:

Requirements Not Answered:	1 out of 3
Requirements Answered:	2 out of 3
Requirements Marked Complete:	0 out of 3
Requirements Confirmed Complete:	0 out of 3

Score:

Current Score:	33% ?	Not Satisfactory ?
Target Score:	77% ?	Satisfactory ?

[Work On This Assessment](#)

[Create a summary report](#)

[Create an improvement plan and/or evidence report](#)

[Print or preview the IC Assurance Statement ?](#)

Improved Reporting

We have enhanced the Assessment Report so you can create interim reports to show progress on your current assessment. You can include a breakdown by initiative, key requirement or attainment level. You can also include your target scores and baseline/performance update scores (for those organisations using 3-stage reporting).

The new Assessment Report is designed to be suitable to show to steering groups/boards, and is generated as an MS Excel spreadsheet, so you can easily print it or email it to colleagues.

To access this feature, select 'Reports' from the navigation bar then 'Assessment Report'.

We will be adding graphs to this report soon and also creating a standard web page version of the report.

AssessmentReport_2406201012_36_23[1].xls [Compatibility Mode] - Microsoft Excel

Assessment	Stage	Not Yet Answered	Level 0	Level 1	Level 2	Level 3	Total Req'ts	Overall Score	Grade
Version 8 (2010-2011)	Current	0	0	45	0	0	45	33%	Not Satisfactory
	Target	0	0	0	30	15	45	77%	Satisfactory

Grade

Not Satisfactory	Not achieved Attainment Level 2 or above on all requirements (Version 8 or after)
Satisfactory	Achieved Attainment Level 2 or above on all requirements (Version 8 or after)

User Admin

Smaller organisations can now create other users within their organisation without having to contact us.

To access this feature, select 'Admin' from the navigation bar, then 'User Admin', then 'New User'.

Feedback

We are keen to get your additional feedback on Version 8, positive or negative (but preferably constructive).

Please send any feedback on the new changes to our dedicated feedback mailbox cfh.igtcomments@nhs.net (this mailbox is for feedback **only** – for general enquiries, use the 'Contact Us' page on the website).