

Information Governance Toolkit Version 11 (IGT V11)

Change Release Note

1.0 Overview

The IG Toolkit is now in its 11th year. Based on user feedback some changes have been made to the IG Toolkit functionality and some requirement guidance materials have been improved slightly to add clarity or to include up to date information (minimal changes).

2.0 Change from V10 to V11

2.1 Requirement sets

Re-labelled and new requirement sets to reflect the re-structuring of the NHS and Social Care following the reforms. These are:

- **Social Care Delivery (SCD)/Local Authority (LA)**

During the lifetime of IGT V10 consultation on the developmental LA requirements took place with LA working groups, the relevant Information Management Groups and the existing users of the SCD requirements set. It was decided that the requirements did not need a major re-write for use by LAs and it would be sufficient to re-label the Social Care Delivery requirement set (which LAs have been using to provide IG assurances since 2005), to clarify that it is applicable to LAs with SCD functions. There are no new requirements in the SCD view but a rationalisation exercise has been carried out and improvements to guidance materials made, maintaining the SCD requirement numbering, which include the requirements previously displayed in the IGT V10 LA view. Therefore there is no further purpose for the developmental LA view and it will not appear in IGT V11.

This requirement set is required for Local Authorities that are using, or seek to use N3 or interoperate with health systems.

- **Commissioning Organisation requirement set**

The Commissioning Organisation view has been relabelled as **Commissioning Support Unit (CSU)** to better reflect the business function it relates to within the new NHS landscape. CSUs have already been using this view during 2012/13.

- The **Health and Social Care Information Centre (HSCIC)** has been using the Secondary Use Organisation view to date, but there is a need to develop this requirement set in terms of their business function and processes within the new NHS structures. Therefore, a separate requirement set has been released initially based on the existing SUO requirements for the HSCIC in V11. The IG Delivery Team and DH IG Policy are in negotiation and consultation with the HSCIC to ensure that the proposed requirement set is still fit for purpose.
- A similar approach has been taken with the development of a NHS England requirement set. The IG Delivery Team and DH IG Policy are in negotiation and consultation with the **NHS England (NHSE)** to ensure that the proposed requirement set (Secondary Use Organisation) supports the business processes.
- A requirement set for **Public Health England (PHE)** has been released in IGT V11 including primarily all SUO requirements and some additional patient care delivery related requirements. The IG Delivery Team and DH IG Policy are in negotiation and consultation with PHE to ensure that the proposed requirement set is fit for purpose.
- A requirement set for **Area Teams/Regions/Hosted Bodies (AT/R/HB)** and **Data Service for Commissioners (DSC)** has been released replicating the requirements for HSCIC and NHSE. These requirement sets were built upon the request of accountable bodies to assist them with the monitoring and reporting of IG compliance/performance to feed into their overarching IG Toolkit assessments for HSCIC and NHSE. Therefore, these views are to be completed as/if advised by the relevant Body e.g. HSCIC to advise DSCs and NHSE to advise AT/R/HB.
- Some **guidance and knowledge base materials/sections** have been improved to offer users further clarification. Links to training materials, guidance, exemplar materials and websites have been updated, where appropriate and possible. Those exemplar materials no longer fit for purpose have been removed for this release. IGT Version 11 includes minor amends and therefore has no impact or burden on the service in terms of conformance. Details of these updates can be found in the [‘IGT Version 11 Change Control Notice’](#) document under columns labelled ‘Guidance changes’ and ‘Knowledgebase Changes’.

2.2 Summary of IGT V11 Requirement sets

The table below summarises the number of requirements in each set. Detail within the 'IGT V11 Change Control Notice' document also maps which requirements are relevant to which organisation types.

No. of Requirements	Acute Trust	Ambulance Trust	Any Qualified Provider: Clinical	Any Qualified Provider: Non-Clinical	Commercial Third Party	Commissioning Support Unit (previously Commissioning Orgs)	Community Health Providers	Clinical Commissioning Groups	Dispensing Appliance Contractors	Dental Practice	Eye Care Service	General Practice	Hosted Secondary Use Teams/Project	Area Teams /Regions/Hosted Bodies	Data Service for Commissioners
Version 10	45	35	34	19	17	41	39	28	16	16	16	13	14	-	-
Version 11	45	35	34	19	17	41	39	28	16	16	16	13	14	36	36
Abbreviation used on supporting spreadsheet	ACUTE	AMT	AQP: CLIN	AQP: NONCLIN	CTP	CSU	CHP	CCG	DAC	DEN	EYECARE	GP	HSUT/P	AT/R/HB	DSC

No. of Requirements	Mental Health Trust	NHS Business Partner	NHS Business Services Authority	NHS Direct	PCT Cluster	Pharmacy	Prison Health	Secondary Use Organisation	Social Care Delivery / Local Authority	Strategic Health Authority Cluster	Voluntary Sector Organisations	Health and Social Care Information Centre	NHS England	Public Health England
Version 10	45	29	34	36	36	16	18	30	40	28	19	-	-	-
Version 11	45	29	34	36	-	16	18	30	40	-	19	36	36	41
Abbreviation used on supporting spreadsheet	MHT	NHSBP	NHSBSA	NHSD	PCTC (archived)	PHAR	PH	SUO	SCD/LA	SHAC (archived)	VOLUNTARY	HSCIC	NHSE	PHE

2.3 New Functionality or Features

Based on user feedback some improvements have been made to the functionality of the IG Toolkit to improve usability and user experience. The features are outlined below:

- **Domain name changes** have been carried out as much as possible to reflect the transition of the IG Toolkit product from DH and NHS Connecting for Health to the new HSCIC. This means the url and improved hosting arrangements will now fall to the responsibility of the HSCIC. The same team is in place to continue maintaining the IG Toolkit website and content development and it is acknowledged that further work is required over the course of 2013 to 2014. Therefore, do not expect all branding, content and reference materials to be completely updated.

- **Disclaimer for model/exemplar materials**

A disclaimer statement displayed under the Knowledgebase section, within the individual requirement pages and the Knowledge Base search tool section. It will read:-

“These exemplar materials have been provided over several years by various organisations or drafted by NHS colleagues. They are intended as general information which may assist. However, the inclusion of this material should not be interpreted as an endorsement or approval.”

- **External IG Delivery Team Review Section**

An area for the External IG Delivery Team to keep a record of notes or actions when reviewing IG Toolkit assessments in support of applications to access NHS national products/networks, section 251 approvals and applications to the Data Access Advisory Group of the HSCIC. This will only be visible to IGT users, whose IGT assessment has been reviewed by a member of the External IG Delivery Team, when they are logged in. Not visible to the public even after publication of the assessment.

- **Enhancement of improvement planning and evidence management facilities.**

Users wanted a more dynamic improvement plan tool and facility to manage their evidence more efficiently from one location on the IG Toolkit. Therefore, the ‘Master List of Evidence Report’ has been removed. The ‘Improvement Plan and Evidence Report’ and new evidence management tools have been merged into one area to create one consolidated report/plan displayed in different formats. It will allow for more active online improvement planning, managing evidence (documents and urls) and an option to export to MS Excel for offline working if necessary.

See the ‘Help’ section of the IG Toolkit website for a user guides on the new/enhanced improvement planning and evidence management tools:-

[Improvement Planning](#)

[Viewing and Managing Evidence](#)

- **IG Incident Reporting Tool**

This is new functionality within the IG Toolkit to facilitate/enhance existing processes and replacing the reporting mechanism Trusts formally had in place with SHAs previously in relation to IG Serious Incidents Requiring Investigation (SIRI).

Health and Social Care organisations have an ongoing responsibility to report IG Incidents to the Department of Health (DH) and historically this was through Strategic Health Authorities (SHAs) and Primary Care Trusts (PCTs), but as these establishments no longer exist from April 2013, there will be no representation to take responsibility for ensuring the DH are kept informed moving forward.

This product has also been developed jointly with the Information Commissioner's Office (ICO) to reduce the organisational burden of reporting incidents and an attempt has been made to align DH and ICO processes. Once an incident is recorded as a Level 2 severity by using this tool an automated notification will be sent to DH, the ICO and relevant regulators if required. For further detail on this new IG SIRI reporting mechanism, processes and guidance, see the relevant Checklist guidance and User Guide for IG Incident Reporting Tool below.

[IG Incident Reporting Tool User Guide](#)

[HSCIC: Checklist Guidance for Reporting, Managing and Investigating IG SIRIs](#)

3.0 Publication of IG Toolkit Assessment Deadlines

The deadlines for IG Toolkit publication remain unchanged:

- The final deadline for **ALL** organisations completing IG Toolkit V11 assessments is **31st March 2014**.
- Certain healthcare Commissioners and Providers¹ are additionally subject to 3-stage reporting, as displayed below:

Baseline	31 st July 2013
Performance Update	31 st October 2013
Final	31 st March 2014

¹ This includes the following views on IGT V11 - Acute Trusts, Ambulance Trust, Mental Health Trust, Commissioning Support Unit, Community Health Provider, NHS England and Area Teams/Regions/Hosted Bodies. All other organisation types should publish no later than 31st March 2014 or by the date of their annual review is due if the assessment is in support of an NHS Contract /Agreement or section 251 application renewal.

4.0 Help

Help guides for using the IG Toolkit website and functionality can be found at the link below:

<https://www.igt.hscic.gov.uk/help.aspx>

All queries regarding the IG Toolkit should be sent to the helpdesk service at the link below:

<https://www.igt.hscic.gov.uk/ContactUs.aspx>