

Information Governance Toolkit Version 10

Release Note

25/05/2012

1. Overview

The IG Toolkit is now in its 10th year. Based on user feedback received we have made some changes to the IG Toolkit functionality, but most changes to the requirements are just to add some clarity to the guidance or update information provided.

A summary of the changes is outlined below.

Submission Deadlines

The final submission deadline for version 10 assessments for all organisations is **31st March 2013**. **NHS Trusts are additionally subject to 3-stage reporting. The reporting deadlines are:**

Baseline	31 st July 2012
Performance Update	31 st October 2012
Final	31 st March 2013

2. Requirement Sets

- No new requirements have been added to any of the requirement sets, but we have added some additional information in the guidance and knowledge base sections.
- One requirement has been removed from the voluntary sector view as it was a duplicate.
- Requirement 112 - changes have been made to enable the greater use of local training materials for staff that have already been trained using the NHS IG Training Tool or equivalent centrally approved materials. **Please note:** the Cabinet Office mandate for all staff to receive **annual** IG training remains in force.
- Full details of any changes made to the requirements are given in the 'IGT Version 10 Change Control Note' (available on the IG Toolkit website), and significant changes are also listed against each individual requirement in the Toolkit.
- 4 new requirement views have been introduced to reflect the re-structuring of the NHS following the reforms. The new views are:
 - **Community Health Providers:** For an NHS organisation, or Community Interest Company/Social Enterprise providing community services to NHS patients.
 - **Any Qualified Providers – Clinical:** For organisation that has an AQP contract to provide clinical services to NHS patients, such an organisation will be carrying out clinical assessment of NHS patients.

- **Any Qualified Providers – Non Clinical:** For an organisation that has an AQP contract to provide non-clinical services to NHS patients, for example, wheelchair or appliance based on another service’s clinical assessment.
- **Local Authority – Development Set:** For a county, shire, district, borough or city council responsible for providing public services within a defined geographical area. This is a voluntary, developmental set of requirements for Local Authorities. The requirements will be further developed during the lifetime of version 10 with the assistance of a Local Authority working group.

The table below summarises the requirements in each view.

No. of Requirements	Acute Trust	Ambulance Trust	Any Qualified Provider: Clinical	Any Qualified Provider: Non-Clinical	Commercial Third Party	Commissioning Orgs (previously PCTs)	Community Health Providers	Clinical Commissioning** Groups	Dispensing Appliance Contractors	Dental Practice	Eye Care Service	General Practice	Hosted Secondary Use Teams
Version 9	45	35	N/A	N/A	17	41	N/A	28	16	16	16	13	14
Version 10	45	35	36	20	17	41	39	28	16	16	16	13	14

No. of Requirements	Local Authority - Development Set	Mental Health Trust	NHS Business Partner	NHS Business Services Authority	NHS Direct	PCT Cluster	Pharmacy	Prison Health	Secondary Use Organisation	Social Care	Strategic Health Authority Cluster	Voluntary Sector Organisations
Version 9	N/A	45	29	34	36	36	16	18	30	40	28	20
Version 10	7	45	29	34	36	36	16	18	30	40	28	19

****Clinical Commissioning Groups view**

This view was introduced towards the end of version 9 because as part of the authorisation application process CCGs are required to complete an IG toolkit assessment during spring/summer 2012. This is outlined in "Clinical Commissioning Group Authorisation; Draft Guide for Applicants" published in April 2012, see page 29 of the guide, which can be found at

<http://www.commissioningboard.nhs.uk/files/2012/04/board-2-ccg-auth.pdf>

The development of this view involved as much as consultation as we were able with a reasonably well established CCG.

3. New functionality in IG Toolkit version 10

Based on user feedback we have made some improvements to the Toolkit functionality. The significant changes, which we hope users will find very helpful are outlined below.

A. Easier navigation between requirements

New functionality has been added to improve user navigation between requirements. A drop list is available which enables users to move through the different requirements more easily when completing an assessment or just viewing the Requirements, i.e. you will be able to go from requirement 10-110 to 10-305 by selecting from the drop down list, rather than having to go back to the requirements list screen or having to click the 'Next' button a number of times. The screenshot below shows how this looks in version 10 of the IG toolkit.

The screenshot displays the 'Requirement Details' page for requirement 99-101. The breadcrumb trail at the top reads: 'You are here: Assessment Summary > A.TEST:ACUTE > Version 99 (2012-2013) > 99-101'. The sidebar on the left includes a user profile for Catherine Kay and navigation links for Home, News, Requirements, Assessments (highlighted), Reports, Resources, Information Mapping, Admin, and Help. The main content area features a requirement description: 'Does the zAMT have adequate governance in place to support the current and evolving Information Governance agenda?'. To the right is a table with the following details:

Requirement No:	99-101
Initiative:	Information Governance Management
Organisation Type:	A.TEST: Acute Hospital Trust
Version:	99.0

Below the table are two navigation bars. Each bar contains buttons for 'Previous', 'Next', 'Save', 'Done', and 'Cancel', with a dropdown menu in the center. The dropdown menu in both bars is set to '99-101' and is circled in red. The bottom bar also includes a 'Page Processing Time: 0.06 seconds' indicator.

B. Improved Reporting

Due to the changing NHS structures improvements have been made to the reports section.

- **Clinical Commissioning Groups**

CCGs can view reports for their organisation and reports for all the GPs covered by the CCG.

- **SHA Clusters**

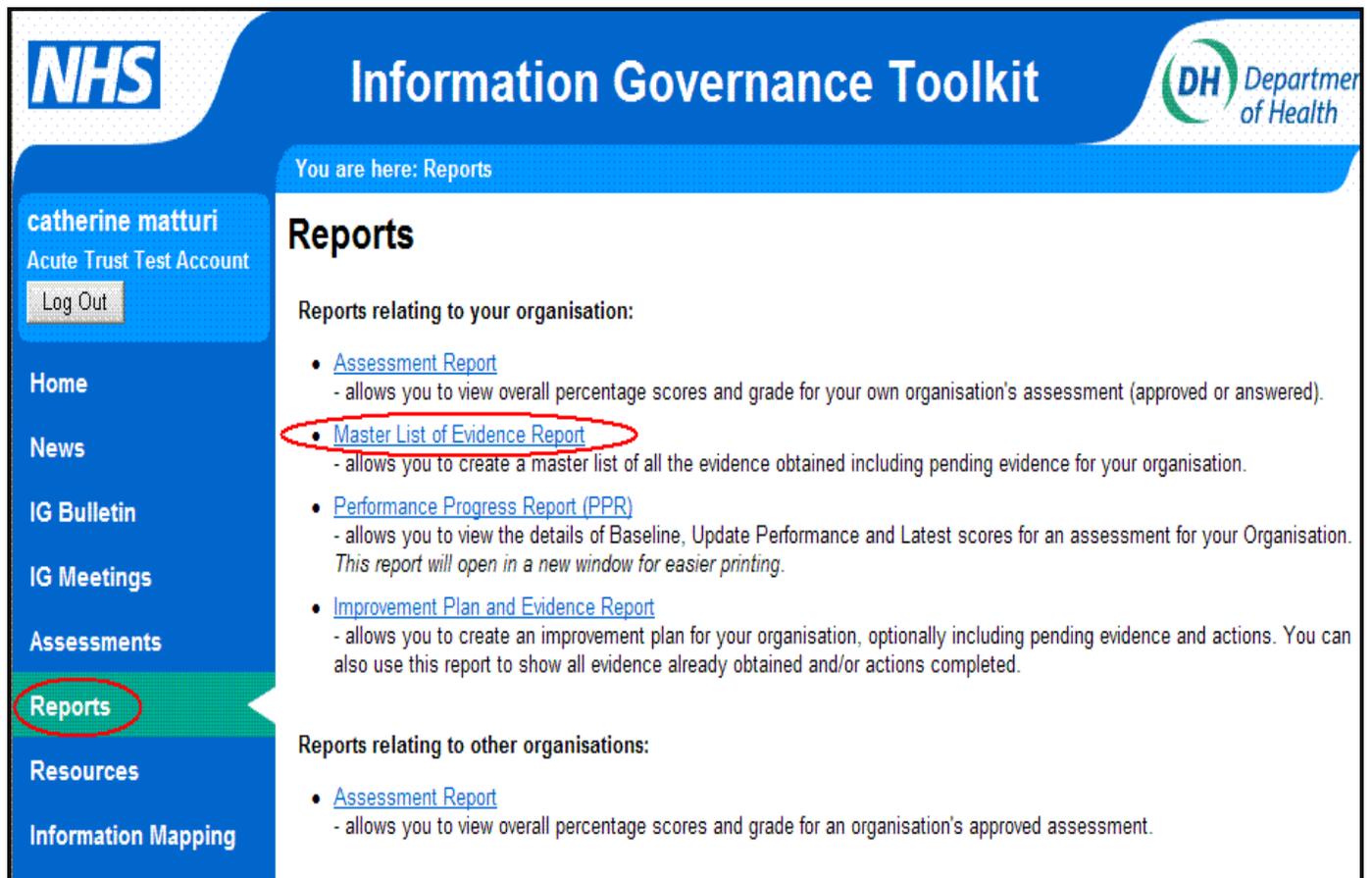
SHA Cluster users can view reports associated with their organisation and reports for other organisations (PCTs and Trusts) within their cluster (providing those organisations are linked to the SHA Cluster).

- **PCT Clusters**

PCT Cluster users can view reports for other organisations within their cluster (providing those organisations are linked to the PCT Cluster).

C. Master list of evidence

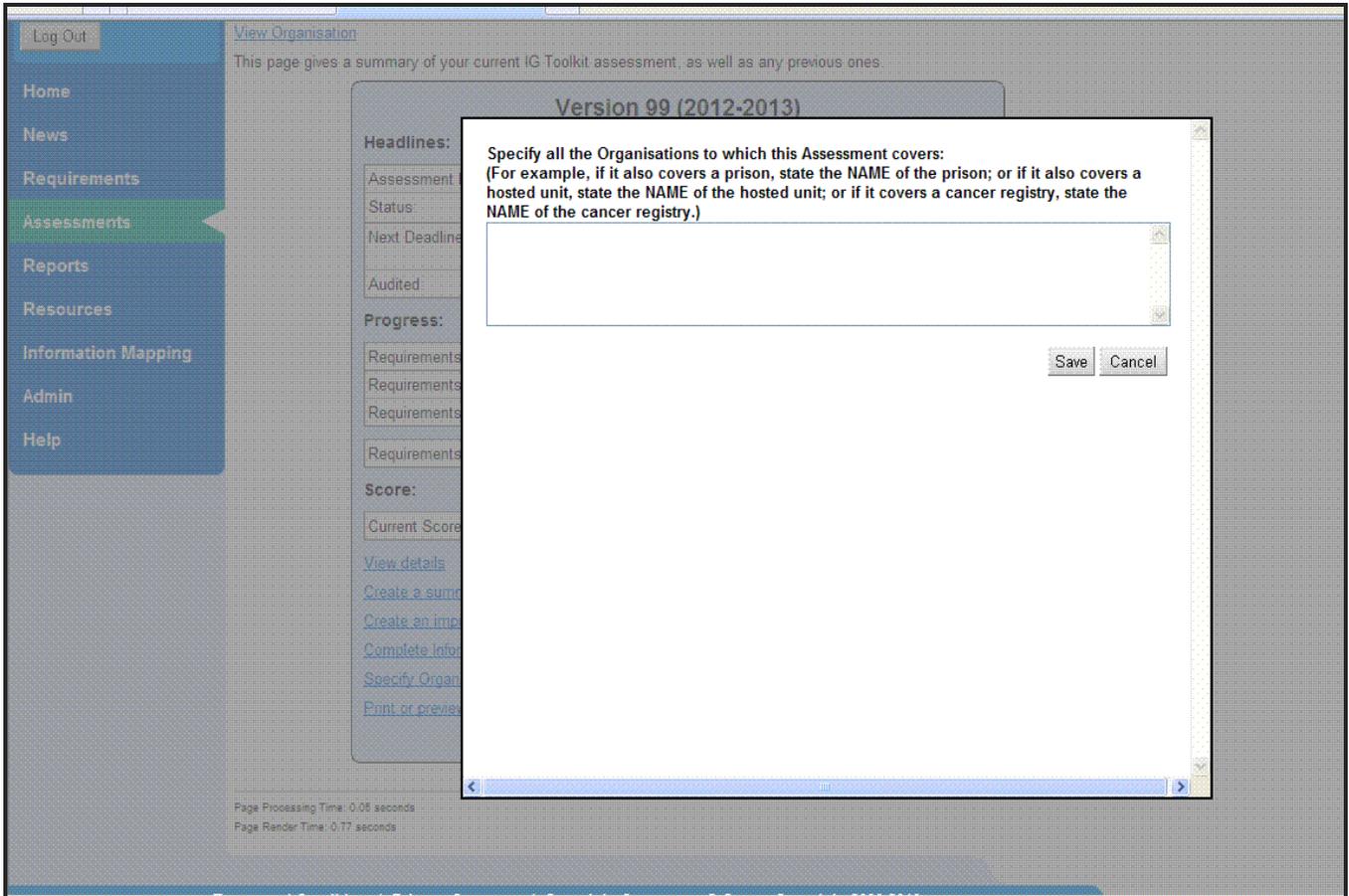
This feature enables you to create a master list of all the evidence obtained including pending evidence for your organisation. If you have evidence that has rolled over from a previous assessment you will be able to obtain a report on that evidence via your current assessment.



The screenshot displays the NHS Information Governance Toolkit interface. At the top, the NHS logo is on the left, the title 'Information Governance Toolkit' is in the center, and the Department of Health logo is on the right. Below the title bar, a breadcrumb trail reads 'You are here: Reports'. The left-hand navigation menu includes 'catherine matturi', 'Acute Trust Test Account', 'Log Out', 'Home', 'News', 'IG Bulletin', 'IG Meetings', 'Assessments', 'Reports' (highlighted with a red circle), 'Resources', and 'Information Mapping'. The main content area is titled 'Reports' and contains two sections: 'Reports relating to your organisation:' and 'Reports relating to other organisations:'. The first section lists four reports: 'Assessment Report', 'Master List of Evidence Report' (circled in red), 'Performance Progress Report (PPR)', and 'Improvement Plan and Evidence Report'. The second section lists one report: 'Assessment Report'.

D. Assessment submission information

A new section has been added for organisations to specify before they publish their assessment all of the organisations to which the published assessment applies. For example, this can be used where an NHS Trust has responsibility for a prison, and the prison staff are following the same policies and procedures, including training, as Trust staff. If the Trust is assured that the requirement set adequately covers the prison as well, then only one assessment needs to be completed and the details of the organisations it covers can be outlined prior to final submission. The screenshot below shows how this looks in version 10 of the IG toolkit.



E. Organisation Profile

From version 10 onwards you will need to enter (and keep up to date) the details of the Information Governance Senior Management in your organisation. Name and email address for the following roles are **mandatory for NHS organisations** and recommended for all others:

- Chief Executive
 - Information Governance Lead
 - Senior Information Risk Owner
 - Caldicott Guardian
- You can do this at any point during the life of the current assessment, but the details must be entered before you publish your final assessment.

The screenshot shows the NHS Information Governance Toolkit Admin interface. The main content area displays a form titled "Complete the following information for your organisation's Information Governance Senior Management". A red note indicates that mandatory fields must be completed. The form contains four sections, each with input fields for Name, Email, and Telephone:

Role	Name	Email	Telephone
Chief Executive Officer (CEO)	Joe Bloggs	joe.bloggs@nhs.net	0123456789
Information Governance Lead	Ann Other	Ann.other@nhs.net	012345678
Senior Information Risk Officer (SIRO)	John Bloggs	john.bloggs@nhs.net	01010122223
Caldicott Guardian	Jane Bloggs	jane.bloggs@nhs.net	012030405060

At the bottom right of the form, there are "Save" and "Cancel" buttons. The "Save" button is circled in red.

F. Pharmacy Batch Submissions

This enables community pharmacies with a Head Office Information Governance function and more than one branch to publish one assessment that will populate the assessments for all of their branches. The functionality should only be used by a pharmacy Head Office IG function where staff members working at the branches are contractually required to adhere to the policies, procedures and training requirements that have been put in place by the Head Office IG function. Branches will need to be linked to a pharmacy HQ for this feature to work effectively. For more information, please read the 'How to Complete Pharmacy Batch Submission' user guide within the 'Help' section.

The screenshot displays the NHS Information Governance Toolkit interface. At the top, the NHS logo is on the left, and the DH Department of Health logo is on the right. The main header reads 'Information Governance Toolkit'. Below this, a breadcrumb trail indicates the user is in 'Assessment Summary > Pharmacy HQ - Branch Selector'. The user's name, 'Catherine Matturi', and role, 'Alliance Pharmacy (PONE)', are shown, along with a 'Log Out' button. A navigation menu on the left includes 'Home', 'News', 'Assessments' (highlighted), 'Reports', 'Resources', 'Admin', and 'Help'. The main content area is titled 'Select Branches' and includes a prompt: 'Please Select Branches for Automatic Creation of Assessments:'. Below this are two buttons: 'Return to Assessment Summary' and 'Create Assessments for Selected Branches'. A checkbox labeled 'Select All Current Branches' is present. A note states: 'If all your Pharmacy sites are not listed below, please [contact us](#) via the Information Governance Toolkit Helpdesk.' A table lists three pharmacy branches with their IDs, names, codes, and selection checkboxes.

Branch Id	Branch	Code	Select
20251	Alliance Pharmacy (Shiney Row) - FFC81	FFC81	<input type="checkbox"/>
20239	Your Local Boots Pharmacy (Ottery St. Mary) - FDD71	FDD71	<input type="checkbox"/>
20213	Your Local Boots Pharmacy (ST Agnes) - FA129	FA129	<input type="checkbox"/>

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Page Render Time: 1.48 seconds

DH Information Governance Policy Team
Informatics Directorate
Department of Health
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