

# **Information Governance Toolkit**

## **Version 13**

### **Change Release Note**

**Issued 29<sup>th</sup> May 2015**

**By External Information Governance Delivery Team**

## Contents

1	Overview of Changes .....	3
1.1	Summary of Changes to Functionality for IGT V13 Release .....	3
1.2	Summary of Changes to Requirements for IGT V13 Release.....	4
2	Change Control Notice .....	5
3	Summary of IGT V13 Requirement Sets.....	6
4	Publication of IG Toolkit Assessment Deadlines .....	7
5	Implementation Guidance .....	8
5.1	IG Toolkit User Guides .....	8
5.2	Requirement Guidance .....	8
5.3	Helpdesk .....	8

## 1 Overview of Changes

This release note covers changes from version 12 to 13 of the Information Governance Toolkit.

### 1.1 Summary of Changes to Functionality for IGT V13 Release

New 'Auto closure' functionality for incidents recorded on the IG Toolkit Incident Reporting Tool and not closed within the advised timeframe specified within the HSCIC ['Checklist Guidance for Reporting, Managing and Investigating Information Governance and Cyber Security Serious Incidents Requiring Investigation'](#) Guidance. An overview of how this works below:-

- If your organisation has reported or recorded any incidents (of any level of severity) via the IG Toolkit and has not closed or updated the incident within 80 days (from the date the incident was entered on the tool) the system will send relevant contacts an email notifying that the incident(s) will be automatically closed in 10 days' time.
- This gives the contacts time to update or close the incident or, if no action is taken, the system will automatically close the incident.
- When incidents are automatically closed another notification email is sent to inform contacts of the closure(s).
- The auto closed incident report may be re-opened if necessary or updated before the date indicated for closure within the notification email. This will maintain the incident record as 'open' and still under investigation.
- There are also options for Organisations to Close the incident themselves before the indicated closure date, withdraw or mark the incident as duplicate if this is appropriate.
- An audit trail of the warning notification email and confirmation that incidents have been auto closed can be found at the bottom of the incident details page under 'Auto closure notification email details' section.
- See the relevant [News](#) item or see the [Incident Reporting Tool User Guide](#) for further detail, available from the Help page of the website.
- Consideration should also be given to the quality, accuracy and appropriateness of level 2 closed incident reports and the HSCIC commitment to publication of information as specified within the IG Toolkit Incident Reporting Publication Statement found on the IG Toolkit ['Publication'](#) page.

## 1.2 Summary of Changes to Requirements for IGT V13 Release

1. Various essential updates made to the content where needed, such as removal of outdated references to deprecated standards, guidance, knowledge base, publications etc. and in response to issues raised by IGT users.
2. The [Area Team/Region/Hosted Body](#) view has been archived by the request of NHS England as Area Teams no longer complete individual IG Toolkit assessments, they are included as part of the NHS England IG Toolkit assessment.
3. Further and more significant changes made in line with the Government response to the Caldicott 2 report and changes in the NHS England contract. Requirement attainment level criteria and evidence are aligned with the changes to the requirement statements listed below:

### Requirement 201 and CSU 201

#### New changes to Requirement Statement:

The organisation ensures that arrangements are in place to support and promote information sharing for coordinated and integrated care and staff are provided with clear guidance on sharing information for care in an effective, secure and safe manner.

### Requirement 202 and CCG 232

#### New changes to Requirement Statement:

Confidential personal information is only shared and used in a lawful manner and objections to the disclosure or use of this information are appropriately respected.

### Requirement 203

#### New changes to Requirement Statement:

Patients, service users and the public understand how personal information is used and shared for both direct and non-direct care, and are fully informed of their rights in relation to such use.

### Requirement 206, CSU 206 and CCG 235

#### New changes to Requirement Statement:

Staff access to confidential personal information is monitored and audited. Where care records are held electronically, audit trail details about access to a record can be made available to the individual concerned on request.

**Further details on changes featuring in v.13 are noted within the Change Control Notice document referenced below.**

## 2 Change Control Notice

Further detail of the version 12 to 13 changes can be found in the ['IGT Version 12 to 13 Change Control Notice \(CCN\)'](#) document under columns labelled 'Guidance changes' and 'Knowledgebase Changes'.



IGT V12 to V13  
CCN-Final\_Publish\_Ma

### 3 Summary of IGT V13 Requirement Sets

The table below summarises the number of requirements in each organisation view. Detail within the 'IGT V12 to 13 Change Control Notice' document also maps which requirements are relevant to which organisation types. See the Organisation Types guidance for further detail on the definition of the types available on the Help page - [Organisation Types](#)

No. of Requirements	Acute Trust	Ambulance Trust	Any Qualified Provider: Clinical Services	Any Qualified Provider: Non-Clinical Services	Commercial Third Party	Commissioning Support Unit	Community Health Providers	Clinical Commissioning Groups	Community Pharmacy / Dispensing Appliance	Dental Practice	Eye Care Service	Area Teams /Regions/Hosted Bodies	Data Service for Commissioners
Version 12	45	35	34	19	17	41	39	28	16	16	16	36	36
Version 13	45	35	34	19	17	41	39	28	16	16	16	Archived	36
Abbreviation used on supporting spreadsheet	ACUTE	AMT	AQP: CLIN	AQP: NONCLIN	CTP	CSU	CHP	CCG	DAC	DEN	EYECARE	AT/R/HB	DSC
No. of Requirements	Mental Health Trust	NHS Business Partner	NHS Business Services Authority	Prison Health	Secondary Use Organisation	Voluntary Sector Organisations	Health and Social Care Information Centre	NHS England	Public Health England	Local Authority			
Version 12	45	29	34	18	30	19	36	36	41	28			
Version 13	45	29	34	18	30	19	36	36	41	28			
Abbreviation used on supporting spreadsheet	MHT	NHSBP	NHSBSA	PH	SUO	VOLUNTARY	HSCIC	NHSE	PHE	L.A.			

## 4 Publication of IG Toolkit Assessment Deadlines

The deadlines for IG Toolkit publication remain unchanged:

- **ALL** NHS organisations (including Foundation Trusts, CCGs, CSUs, general practices, dental practices, NHS eyecare services and community pharmacies/DACs), and the National Bodies listed below must publish their version 13 IG Toolkit assessment by **31 March 2016**.
- All other organisation types should publish no later than 31 March 2016 or by the date their annual review is due if the assessment is in support of an NHS Standard Contract /Agreement or section 251 application renewal.

Certain healthcare Commissioners and Providers are additionally subject to 3-stage reporting, as displayed below. This includes the following organisation views on IG Toolkit V13:

- Acute Trust
- Ambulance Trust
- Mental Health Trust
- Commissioning Support Unit
- Community Health Provider
- NHS England
- Public Health England
- Health and Social Care Information Centre

<b>Baseline</b>	31 <sup>st</sup> July 2015
<b>Performance Update</b>	31 <sup>st</sup> October 2015
<b>Final</b>	31 <sup>st</sup> March 2016

## 5 Implementation Guidance

### 5.1 IG Toolkit User Guides

The link below allows new users to access a number of supporting guidance documents which can be found on the Help page at <https://www.igt.hscic.gov.uk/help.aspx>. These include how to complete the online IG Toolkit assessment, how to produce an improvement plan, how to register, how to contact the helpdesk for advice etc.

When logged into the Toolkit the 'Resources' menu provides downloadable versions of the requirements which can be printed out or exported into a spreadsheet format to assist local implementation and planning. A knowledge base directory and glossary is also available from this area and may be helpful when producing evidence to support IG compliance.

### 5.2 Requirement Guidance

Each requirement contains a general guidance section and attainment level criteria, both of which are useful for understanding and clarifying what the organisation should have in place, how to comply or approach conformance with standards and considerations for local implementation. <https://www.igt.hscic.gov.uk/requirementsorganisation.aspx>

### 5.3 Helpdesk

A Helpdesk Service is available to users requiring additional assistance after referring to the guidance already made available. The Helpdesk can advise on administrative, technical, functional issues and with interpretation of guidance. The Helpdesk can be contacted via: <https://www.igt.hscic.gov.uk/ContactUs.aspx>