

Information Governance Toolkit Version 12 (IGT V12)

Change Release Note

Overview of Change from V11 to V12

Requirement Content Changes

The changes for IG Toolkit V12 content include:

1. Minor changes to the Hosted Secondary Use Team / Project view to make this view more meaningful for the academic / research community.
2. A new 'Local Authority' requirement set (view) to replace the old 'Local Authority / Social Care Delivery' requirement set. The requirements included within this new view attempt to eradicate duplication of IGT requirements / public service network information assurance (PSN IA) criteria and rationalises and refines current requirements to improve relevance to the Local Authority working environment (i.e. reducing and replacing the NHS centric content). For further guidance and clarification on this go to the Help section of the IG Toolkit and click on the [Local Authorities](#) link.
3. Various essential updates have been made to the content where needed such as removal of outdated references to deprecated standards and responses to issues raised by IGT users.
4. BS ISO 27000 Series of Information Security Standards – updated versions of the standard have been obtained under licence for NHS Organisations only. The documents are available via the 'Resource' tab when a user is logged into the IG Toolkit via an N3 connection.
5. Updates have been made in line with some of the Department of Health's response to 'Information: To Share or not to Share?' (also known as the Caldicott2 review report) mainly featuring within IG Management, Data Protection and Confidentiality related requirements.

Details of these updates can be found in the ['IGT Version 12 Change Control Notice'](#) document under columns labelled 'Guidance changes' and 'Knowledgebase Changes'.

Summary of IGT V12 Requirement sets

The table below summarises the number of requirements in each set. Detail within the 'IGT V12 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 Services	Any Qualified Provider: Non-Clinical Services	Commercial Third Party	Commissioning Support Unit	Community Health Providers	Clinical Commissioning Groups	Community Pharmacy / 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 11	45	35	34	19	17	41	39	28	16	16	16	13	14	36	36
Version 12	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	Prison Health	Secondary Use Organisation	Social Care Delivery / Local Authority	Voluntary Sector Organisations	Health and Social Care Information Centre	NHS England	Public Health England	Local Authority
Version 11	45	29	34	36	18	30	40	19	36	36	41	-
Version 12	45	29	34	36	18	30	Archived	19	36	36	41	28
Abbreviation used on supporting spreadsheet	MHT	NHSBP	NHSBSA	NHSD	PH	SUO	SCD/LA	VOLUNTARY	HSCIC	NHSE	PHE	

Functional Changes

Minor changes have been made to the functionality/usability of the IG Toolkit website, based on requests received from IGT users, via the change request process and outcomes of consultation undertaken early 2014.

The changes for IG Toolkit V12 functionality include:

- **Evidence uploaded export to csv link** - When logged into the IG Toolkit a new link appears within the 'View documents used as evidence' section which allows users to export the list of documents to a csv file. The CSV file will contain every document uploaded for the viewed assessment and not just the documents displayed on the contents screen. Only file names (no file links) are displayed on the csv list for security purposes.
- **IG Toolkit Assessment Progress Status** - The Report section of the IG Toolkit website, also available to members of the public, now allows you to search for any organisation registered on the IG Toolkit (published or in progress assessments). Reports includes further historical detail of the assessment and the assessment status e.g. date/time when the assessments were published, started, not started or if the assessment is reviewed as Satisfactory/Satisfactory with improvement plan/Not Satisfactory etc. To clarify the report does not display work in progress scores, only published scores. Further context help is provided to offer definitions of assessment statuses. If an assessment has not been reviewed, not required to be reviewed or the most recent review is not marked as complete by the External IG delivery team then 'n/a' is displayed in the 'Reviewed Status' column rather than a score to make it clear that no review has taken place. This is useful for those checking/monitoring the progress of IG Toolkit assessments.
- **Stating the Purpose of the Assessment** - An Organisation Administrator for an applicable organisation (listed below) will be prompted to enter the purpose(s) for an assessment either prior to or as part of publication in order that when the IG External Delivery team are reviewing the assessment they are aware of the purpose of that assessment where the purpose may not be clear (e.g. is the assessment in support of an N3 Connection, section 251 application etc.). The organisations types this field will appear for are:-
 - * Any Qualified Provider - Clinical Services
 - * Any Qualified Provider - Non Clinical Services
 - * Commercial Third Party
 - * NHS Business Partner
 - * Community Health Provider
 - * Voluntary Sector Organisation
 - * Hosted Secondary Use Team/Project
 - * Secondary Use Organisation
 - * Social Care Delivery/Local Delivery

- **Senior Management Details** - All organisations types will now be prompted to or have the facility to provide senior management details before they publish the assessment. This is mandatory for some organisation types already but now available to all other organisation types as optional.
- **Pharmacy HQ IG Toolkit registration** – The IGT registration section has been updated slightly to allow representatives from a Pharmacy HQ to self-register as other organisation types can. Where the Pharmacy HQ organisation name and code is registered with ODS and subsequently with the IGT website then one representative from the Pharmacy HQ should now be able to self-register unless an Organisation Administrator already exists.
- **Evidence uploaded message regarding disclosure under the Freedom of Information Act** - Warning text has changed slightly when users attempt to upload a document. The following message is displayed stating that “Evidence files are stored on our secure server. They cannot be viewed by users from other organisations. They are available to authorised Health and Social Care Information Centre staff and authorised external auditors. Evidence uploaded will be disclosable under FOI unless an exemption applies.”
- **Further guidance provided to clarify how users can edit their assessment after a requirement has been confirmed as complete.** Only relevant for organisations which have multiple roles set up. If an assessment has been marked as confirmed then the message will read as follows “This assessment has been marked as Confirmed and therefore this requirement cannot be edited. Your organisation administrator will need to Un-confirm the assessment. Additionally an Organisation Reviewer for your organisation will need to clear the Requirement Confirmed Complete checkbox in order to edit this requirement.”.
- **"Specify all the organisations which this assessment covers" field** - All organisations can state which organisations/services/departments are covered by the IG Toolkit assessment before they publish from a link provided on the Assessment Summary screen when logged in. This section is mandatory for some organisation types and optional for others (as appropriate).
- **Changes to Local Authority Organisation Data Service (ODS) codes** - ODS have introduced new codes for Local Authorities, replacing 4-character codes (in 'Vnnn' format) with new 3 character codes (in 'nnn' format). The old codes have been replaced with the new codes on the IG Toolkit. Further information regarding this change can be found at the Help page linking to further guidance which should be read by the relevant Local Authorities.
- **Changes to headings on the Assessment Reports** are available from the ‘Reports’ section of the website. When generating a report on an organisation from this section the following changes have been made to some of the headings offering further clarification:-
 - the wording of the 'initial grade' header changed to 'self-assessed grade'
 - the wording of the 'initial grade' context help reads 'organisation self-assessed grade'
 - the wording of the 'current grade' header changed to 'reviewed grade'

- the wording of the 'current grade' context help reads 'Grade assigned by HSCIC team if assessment has been reviewed'
- title change 'Grade' for report legend to 'Grade Key'
- the wording change of grade key definitions in the legend reads 'evidenced' so they read as follows:
 - Not Satisfactory = 'Not evidenced Attainment Level 2 or above on all requirements (Version 8 or after)
 - Satisfactory = 'Evidenced Attainment Level 2 or above on all requirement (Version 8 or after).
- **Improvements made to the Requirement Screen** within the 'Attainment Levels' section. The screen has been re-coded and tested to hopefully resolve issues some users where experiencing on certain internet browsers e.g. check boxes not functioning as expected and an additional 'Are you sure' message has been added when deleting evidence items to ensure users are content to delete an item. This was requested by users who felt the pencil icon was too close to the dustbin icon.
- **New 'Delete' option for Organisation Administrators** – To assist with keeping the users list registered on the IG Toolkit up to date the 'lock' option has been replaced with a 'delete' option. Therefore, Organisation Administrators can delete old user accounts and add new ones. However, this action will not delete audit trails. You can still view old user names within historical assessments and on IGT history/status links. If a user is deleted by mistake simply re-register them. As there is no need for the 'lock' function anymore this has been removed.

Publication of IG Toolkit Assessment Deadlines

The deadlines for IG Toolkit publication remain unchanged:

- The final deadline for **ALL** organisations completing IG Toolkit V12 assessments is **31st March 2015**.
Certain healthcare Commissioners and Providers are additionally subject to 3-stage reporting, as displayed below. This includes the following views on IGT V12:-
 - Acute Trust
 - Ambulance Trust
 - Mental Health Trust
 - Commissioning Support Unit
 - Community Health Provider
 - NHS England
 - Public Health England
 - Health & Social Care Information Centre

-
- All other organisation types should publish no later than 31st March 2015 or by the date determined by a particular process e.g. in support of an NHS Contract /Agreement or section 251 application renewal etc. (as appropriate).

Baseline	31 st July 2014
Performance Update	31 st October 2014
Final	31 st March 2015