

Information Governance (IG) Toolkit Submission V14.1 2017/18 26 March 2018

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Agenda Item No: 8.2

Trust Board Report

Meeting Date:	26 th March 2018
Title:	Information Governance (IG) Toolkit Submission V14.1 2017/18
Purpose of the Report:	To provide assurances around the Trust compliance to national Information Governance standards.
Summary:	<p>To keep the board informed on IG Toolkit scores for submission to the Department of Health by 31st March 2018 for</p> <ul style="list-style-type: none"> ➤ RL4 - The Royal Wolverhampton NHS Trust ➤ Alfred Squire M92002 ➤ MGS M92654 ➤ Lea Road M92007 ➤ West Park M92042 ➤ Warstones M92044 ➤ Ettingshall MC Y02735 ➤ Thornley Street M92028 ➤ Penn Manor M92011 <ul style="list-style-type: none"> • IG Toolkit scores will all report at level 2 or 3 and have been ratified by IG Steering Group (IGSG) on 19th March 2018 and Compliance Oversight Group (COG) on the 12th March 2018 and signed off at Trust Management Committee 23rd March 2018.
Action required:	For information: Scores will be ratified as per the above committees.
Clinical implications and view	N/A
Patient, carer, public impact and views	N/A
Resource implications	N/A
Report of:	Dr Jonathan Odum Medical: Director/ Caldicott Guardian
Author + Contact Details:	Tel Raz Edwards – Information Governance Manager Tel 01902 307999 Email raz.Edwards@nhs.net
CQC Domains	<p>Safe: patients, staff and the public are protected from abuse and avoidable harm.</p> <p>Effective: care, treatment and support achieves good outcomes, helping people maintain quality of life and is based on the best available evidence.</p> <p>Caring: staff involve and treat everyone with compassion, kindness, dignity and respect.</p> <p>Responsive: services are organised so that they meet people's needs.</p> <p>Well-led: the leadership, management and governance of the organisation make sure it's providing high-quality care that's based around individual needs, that it encourages learning and innovation, and that it promotes an open and fair culture.</p>

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Trust Strategic Objectives	1. Create a culture of compassion, safety and quality 3. To have an effective and well integrated local health and care system that operates efficiently
Links to Assurances	
Resource Implications:	N/A
Equality and Diversity Impact	N/A
Risks:	N/A
Risk register reference:	N/A
Other formal bodies involved:	N/A
References	N/A

Report Details	
1	<p>Background detail on the IG Toolkit</p> <p>The IG Toolkit is a Department of Health (DH) Policy delivery vehicle that the NHS Digital formally known as the Health and Social Care Information Centre (HSCIC) is commissioned to develop and maintain. It draws together the legal rules and central guidance set out by DH policy and presents them in in a single standard as a set of information governance requirements.</p> <p>The purpose of the assessment is to enable the Trust to measure compliance against the law and central guidance and to see whether information is handled correctly and protected from unauthorised access, loss, damage and destruction.</p> <p>Where partial or non-compliance is revealed, the Trust is required to take appropriate measures, (e.g. assign responsibility, put in place policies, procedures, processes and guidance for staff), with the aim of making cultural changes and raising information governance standards through year on year improvements. The ultimate aim is to demonstrate that the Trust can be trusted to maintain the confidentiality and security of personal information. This in-turn increases public confidence that the Trust can be trusted with personal data.</p> <p>End of financial year submission also accepts the IG Assurance Statement. This is binding on each organisation and acceptance should be authorised by an appropriate senior management.</p>
2	<p>This financial year we are also seeking assurance for the GP partnerships that are a part of Vertical Integration. Each GP Partnership is currently a registered data controller and therefore required to comply and submit their own toolkit submission. GP Partnerships have 13 toolkit requirements that they are required to provide assurance for, compared to 45 requirements for an acute trust. GP toolkit submissions are once annually in March, where as an acute Trust is required to submits three times in a year.</p>

3 For the purposes of this report we are seeking assurances on the following toolkit submissions for the following organisation codes:

- RL4 - The Royal Wolverhampton NHS Trust
- Alfred Squire M92002
- MGS M92654
- Lea Road M92007
- West Park M92042
- Warstones M92044
- Ettingshall MC Y02735
- Thornley Street M92028
- Penn Manor M92011

4 IG Toolkit final scores March 2018 – RL4 The Royal Wolverhampton NHS Trust

The IG Steering Group (IGSG) ratified the scores below on 19th March 2018 and Compliance Oversight Group (COG) on the 12th March 2018. The evidence relating to each of the requirements has been through a process of review, updating and monitoring by the requirement leads.

Summary of the IG Toolkit scores to be approved.

Assessment	Stage	No of requirements self-assessed at:					overall Score	Grade	Exception detail on any level 1's
		Level 0	Level 1	Level 2	Level 3	Total Req'ts			
Version 14.1 (217/18)	Baseline July 2017	0	0	36	9	45	73%	Satisfactory	
	Performance Update Oct 2017	0	0	36	9	45	73%	Satisfactory	
	Expected as Published 31 March 2018	0	0	30	15	45	77%	Satisfactory	
Not Satisfactory		Not achieved Attainment Level 2 or above on all requirements							
Satisfactory		Achieved Attainment Level 2 or above on all requirements							

IG Toolkit requirements have been a process of on-going ratification has been finally reviewed at the March IGSG and COG.

Requirements had changed compliance throughout the year due to documentation needing to be reviewed and re-approved.

Please see Appendix 1 for the full statement to which requires approval. End of year submissions link to the Care Quality Commission (CQC) and may be used by the Information Commissioners Office (ICO) in the case of a serious information incident to enforce a civil monetary penalty of up to £500,000.

5 IG Toolkit final scores March 2018 – Vertical Integration Practices

The Trust is seeking assurances for the GP Practices which are now joint data controllers with the Royal Wolverhampton NHS Trust. Unlike an acute trust, GP toolkits are only required to be submitted once a year in March. Throughout the year IGSG have sought assurances on the progression of the following Partnerships:

- Alfred Squire M92002
- MGS M92654
- Lea Road M92007
- West Park M92042
- Warstones M92044
- Ettingshall MC Y02735
- Thornley Street M92028
- Penn Manor M92011

Below is a breakdown of the scores for the GP Practices. All have reported at satisfactory. IG Toolkit requirements have been a process of on-going ratification has been finally reviewed at the March IGSG and COG.

Req	Description	Alfred Squire	MGS	Lea Road	West Park	Warstones	Ettingshall MC	Thornley Street	Penn Manor
114	Responsibility for Information Governance has been assigned to an appropriate member, or members, of staff	3	2	2	2	3	3	3	2
115	There is an information governance policy that addresses the overall requirements of information governance	3	3	2	3	3	3	3	3
116	All contracts (staff, contractor and third party) contain clauses that clearly identify information governance responsibilities	3	2	2	2	2	3	3	3
117	All staff members are provided with appropriate training on information governance requirements	3	2	2	2	3	3	2	3
211	All transfers of personal and sensitive information are conducted in a secure and confidential manner	3	2	2	2	3	3	2	3
212	Consent is appropriately sought before personal information is used in ways that do not directly contribute to the delivery of care services and objections to the disclosure of confidential personal information are appropriately respected	3	2	2	2	2	3	2	3
213	There is a publicly available and easy to understand information leaflet that informs patients/service users how their information is used, who may have access to that information, and their own rights to see and obtain copies of their records	2	2	2	2	2	3	2	3
304	Monitoring and enforcement processes are in place to ensure NHS national application Smartcard users comply with the terms and conditions of use	2	2	2	2	2	3	2	3
316	There is an information asset register that includes all key information, software, hardware and services	3	2	2	2	2	3	3	3

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317	Unauthorised access to the premises, equipment, records and other assets is prevented	3	2	2	2	2	3	3	3
318	The use of mobile computing systems is controlled, monitored and audited to ensure their correct operation and to prevent unauthorised access	2	2	2	2	2	3	3	3
319	There are documented plans and procedures to support business continuity in the event of power failures, system failures, natural disasters and other disruptions	3	2	2	2	2	3	3	3
320	There are documented incident management and reporting procedures	2	2	2	2	2	3	3	3
	TOTAL for submission	89%	71%	66%	66%	76%	100%	82%	97%

Not Satisfactory	Not achieved Attainment Level 2 or above on all requirements
Satisfactory	Achieved Attainment Level 2 or above on all requirements

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Action required by Committee

For assurance TMC approved the scores outlined in the tables above on the 23rd March 2017.

Appendices

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Appendix 1 - Information Governance Assurance Statement for Organisations that use, or plan to use HSCIC Services

Information Governance Assurance Statement

As of 16th September 2009, all organisations submitting an IG Toolkit assessment are required to accept the following Information Governance Assurance Statement. This happens at the point of submission (i.e. when you click the "Submit" button).

The IG Assurance Statement is binding on your organisation and acceptance should be authorised by an appropriate senior individual in the same way as the IG Toolkit assessment itself. The IG Assurance Statement can be printed (using the "Print" button below) prior to acceptance in order to facilitate consideration by authorising individuals.

Information Governance Assurance Statement for Organisations that use, or plan to use HSCIC Services

Version 4, 10/06/2014

1. All organisations that have either direct or indirect access to HSCIC services¹, including N3, must complete an annual Information Governance Toolkit Assessment and agree to the following additional terms and conditions. Where the Information Governance Toolkit requirements are not met to an appropriate standard (minimum level 2), an action plan for making the necessary improvements must be agreed with the HSCIC External Information Governance team or with an alternative body designated by the Department of Health (e.g. a commissioning organisation).
2. All organisations providing indirect access² to HSCIC services for other organisations (approved N3 link recipients), are required to provide the Department of Health, on request, with details of all organisations that have been permitted access, the business justification and the controls applied, and must maintain a local log of organisations to which they have allowed access to N3. This log should be reviewed regularly by the organisation and unnecessary access rights removed. The Department of Health or an alternative body designated by the Department of Health may request sight of these logs in order to facilitate or aid audit or investigations.
3. The approved N3 link recipient is responsible for their compliance with IG policies and procedures and may request authorisation by the Department of Health to monitor and enforce the compliance and conduct of subsidiary connected organisations and suppliers to ensure that all key information governance requirements are met.
4. The use of HSCIC Services should be conducted to support NHS business activities that contribute to the care of patients. Usage of individual services must be conducted in line with those individual services requirements and acceptable use policies. The use of HSCIC provided infrastructure or services for unauthorised advertising or other non-healthcare related activity is expressly forbidden.
5. All threats or security events affecting or potentially affecting the security of HSCIC provided infrastructure or services must be immediately reported via the HSCIC incident reporting arrangements or via local security incident procedures where applicable.
6. All infrastructure and connections to other systems and networks which are not covered by an approved Information Governance Toolkit Assessment and agreement to this IG Assurance Statement must be segregated or isolated from IGT covered infrastructure and connections such that IGT covered infrastructure and connections, or HSCIC Services are not put at risk. A Logical Connection Architecture diagram must be maintained by network managers in accordance with HSCIC guidance and must be provided for Department of Health review on request.
7. Organisations with access to HSCIC Services shall ensure that they meet the requirements of the Department of Health policy on person identifiable data leaving England, or being viewed from overseas. A copy of the Information Governance Offshore Support Requirements applicable to those accessing HSCIC Services is available on request or can be downloaded from http://systems.hscic.gov.uk/infogov/igsoc/links/index_html. The agreement of the Department to this limited support or exceptionally to more extensive processing must be explicitly obtained.

8. Where another network is connected to N3, only services that have been previously considered and approved by the Department of Health as appropriate for that network are permissible. Requests for new or changed services must be provided to the Department for consideration.
9. Organisations may not create or establish any onward connections to the N3 Network or HSCIC provided services from systems and networks which are not covered by an approved Information Governance Toolkit Assessment and agreement to this IG Assurance Statement.
10. The approved organisation shall allow the Department of Health, or its representatives, to carry out ad-hoc on-site audits, and to review any/all evidence that supports the Information Governance Toolkit Assessment, as necessary to confirm compliance with these terms and conditions and with the standards set out in the Information Governance Toolkit.

Information Governance Assurance Statement

I confirm that I have read, understood and agree to comply with the additional terms and conditions that apply to organisations that have access to HSCIC services and acknowledge that failure to maintain compliance may result in the withdrawal of HSCIC services.

¹ HSCIC Services include the N3 network and other applications or services provided by HSCIC, e.g. the NHS Spine Service, NHSmail, Choose and Book (and in future the NHS e-Referral Service).

² Access to the N3 network or HSCIC Services via another organisation or gateway