

Guide to Carrying out an IG Toolkit Assessment on Version 9 of the Toolkit

Pharmacies will need to carry out the following three steps to carry out an assessment:

1. Logging in to the Toolkit
2. Completion of the assessment
3. Publication of the assessment

Step 1: Logging in to the Toolkit

The Toolkit can be accessed at: <https://www.igt.connectingforhealth.nhs.uk/>

A pharmacy must be registered to complete the online IG assessment. The majority of pharmacies should already be registered in which case, login using your organisation code (ODS Code), user name and password. If the nominated individual has forgotten their password to login to the IG Toolkit, the password can be easily recovered by clicking on the "Forgotten user details?" link under the "Registered Users" heading on the site. The "forgotten user details" page allows the nominated individual to recover the lost password by entering the email address that was used to register the pharmacy.

If there has been a *change of ownership* since the last Toolkit assessment was submitted and the pharmacy ODS code has stayed the same, the new owner should contact the DH Informatics helpdesk (0845 371 3671). The account of the previous owner can be locked and the new owner registered against that ODS code. Likewise, if the *nominated user of the toolkit has left the pharmacy* since the last Toolkit submission, contact the DH Informatics helpdesk so that another user can be registered to use the toolkit.

If your pharmacy has *not previously registered* for access to the site, select the "Register" button in the new users section of the Toolkit homepage. Only one registration can be made per pharmacy. The Organisation Code is the pharmacy's ODS Code (also known as the 'F code') which can be found at the top of the 'Schedule of Payments' received from NHS Prescription Services. Please ensure the email address is correct as this is how NHS CFH will contact the nominated individual with information about the IG Toolkit.

Support in registering and using the toolkit is available from the DH Informatics Helpdesk at Exeter.helpdesk@nhs.net or telephone **0845 371 3671**.

Step 2: Completing the Assessment

There have been some changes to the toolkit since pharmacy contractors last submitted an assessment in early 2011. The basic structure of the assessment remains the same.

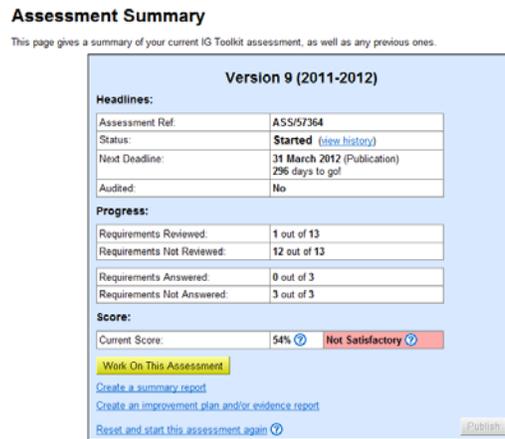
A new feature of the Version 9 toolkit is the 'rollover' function. Any information entered in the Version 8 toolkit and published/ submitted will be carried forward to the new Version allowing it to be reviewed more easily. If a Version 8 assessment had been started in early 2011 but wasn't finished or the 'publish' button wasn't clicked, it will still be active and the information will not be carried forward. If you have entered scores into version 8 but not published the assessment, you should complete any missing scores and click the 'publish' button so that your scores etc can be rolled over into version 9. If you didn't start the version 8 assessment it

might be more advisable to re-set the assessment to allow the Version 9 assessment to be completed. Re-setting means that you will have no version 8 assessment recorded.

You need to review all scores, evidence and comments and update the information if necessary before marking the requirements as 'reviewed'. This can be done by:

- (a) Logging into the IG Toolkit (using the new password) and selecting the **"Assessments"** button from the menu. This brings up a summary of your progress in completing the review (Figure 1).

Figure 1



- (b) Click **"Work On This Assessment"** to bring up the list of IG requirements (Figure 2) for review.

Figure 2

Version 9 (2011-2012) Assessment
Requirements List

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Req No	Description	Status ?	Attainment Level ?	?	Action
Information Governance Management					
9-114	Responsibility for Information Governance has been assigned to an appropriate member, or members, of staff Owners: ? No owners defined for this requirement	Reviewed	Level 2 ?	Assign Owners	Edit
9-115	There is an information governance policy that addresses the overall requirements of information governance Owners: ? No owners defined for this requirement	Not Reviewed	Level 2 ?	Assign Owners	Review
9-116	All contracts (staff, contractor and third party) contain clauses that clearly identify information governance responsibilities Owners: ? No owners defined for this requirement	Not Reviewed	Level 2 ?	Assign Owners	Review
9-117	All staff members are provided with appropriate training on information governance requirements Owners: ? No owners defined for this requirement	Not Reviewed	Level 2 ?	Assign Owners	Review
Confidentiality and Data Protection Assurance					
9-209	All person identifiable data processed outside of the UK complies with the Data Protection Act 1998 and Department of Health guidelines Owners: ? No owners defined for this requirement	Not Answered		Assign Owners	Answer

This screen shows the status for each requirement. The following statuses will show, depending upon your progress.

Not Reviewed: The requirement has not yet been marked as 'reviewed'.

Reviewed: The requirement has been reviewed and no updates or changes are needed.

Reviewed and Updated: The requirement has been reviewed and updated where necessary.

Not Answered: The requirement was previously marked as either 'Not relevant' or 'Exempt' in the previous assessment and has therefore not been rolled over to this assessment.

(c) Click on "Review" (or "edit" if it has already been started) next to the requirement you wish to check: This reveals a screen similar to Figure 3 below, and contains the requirement details, the attainment levels and links to the knowledge base. Click the plus signs next to each heading to expand the headings.

Figure 3

Requirement Details

All contracts (staff, contractor and third party) contain clauses that clearly identify information governance responsibilities	Requirement No:	9-116
	Initiative:	Information Governance Management
	Organisation Type:	Community Pharmacy/DAC
	Version:	9.0

Previous Next Save Done Cancel

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- Requirement Description
- Guidance
- Attainment Levels
- Knowledge Base Resources
- Requirement Origins
- Changes

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(d) Under "**Attainment Levels**", each requirement includes a built-in checklist of *criteria* for each attainment level. If you have further developed your IG processes since achieving level 2 and are aiming to add information to the toolkit, tick off the criteria that you have achieved and the system will automatically determine your attainment level based on this information. The criteria are cumulative – in order to achieve level 3 you must first achieve all criteria for level 2. There are optional fields to record where evidence is obtained and record details linked to a specific piece of evidence – but it is not mandatory to complete these fields. If you decide not to complete the 'Evidence Required' section you should still complete the **General Comments** field to provide support for your score, for example, where your evidence is held, the name of a procedure, etc.

When you have completed reviewing a requirement, you need to tick the "**Requirement Reviewed**" box (Figure 4)

Figure 4

Requirement Details?

All contracts (staff, contractor and third party) contain clauses that clearly identify information governance responsibilities	Requirement No:	9-116
	Initiative:	Information Governance Management
	Organisation Type:	Community Pharmacy/DAC
	Version:	9.0

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Requirement Description

Guidance

Attainment Levels

These are cumulative eg to achieve level 3 you must complete all criteria for Levels 1, 2 and 3.

0: Insufficient evidence to attain Level 1.	<input type="checkbox"/>	?
1: Action has been taken to determine whether contracts of staff, contractors and third parties contain clauses setting out IG responsibilities.	<input checked="" type="checkbox"/>	?
2: Appropriate clauses on compliance with IG have been put into all contracts and/or agreements.	<input checked="" type="checkbox"/>	?
3: Compliance with the clauses is monitored and assured. Formal contractual arrangements with staff, contractors and third parties are reviewed regularly.	<input type="checkbox"/>	?

Past Level: ? Current Level: ? Target Level: ?
Target Date: ?

Requirement Reviewed: ?

Knowledge Base Resources

Requirement Origins

Changes

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(e) Finally, you will need to update your 'target level' and 'target date'. There is no requirement for pharmacies to achieve Level 3 compliance so the target level could be continuing to meet Level 2. The target date could be the 31st March 2013.

New optional feature- criteria owners

Version 9 now allows you to assign a requirement owner and also to assign owners at criteria level, allocating each criteria to a different owner if desired. On the **Requirements List** screen (Figure 2), click on the '**Assign Owners**' link. This brings up a list of the criteria and also a description of each criteria underneath. Once you have assigned the criteria, click save and this will navigate you back to the **Requirements List** screen. This screen will now show the criteria owners under each requirement.

Step 3: Publishing the assessment

Once you are satisfied that the scores recorded accurately reflect the pharmacy's level of compliance with the IG requirements, you should select the "**Assessments**" option (on the left hand side) and then click the "Publish" button. Once you have clicked "Publish", the Toolkit will automatically be published onto the website for anyone to view the scores.

Note it is not possible to withdraw a submission so make sure the scores accurately reflect the assessment status of your pharmacy before clicking the publish button. Otherwise, any improvements in scores should be entered in the next Version of the IG toolkit.

If a genuine error has been made the user should contact the DH Informatics Helpdesk at Exeter.helpdesk@nhs.net or telephone **0845 371 3671**. The request will be considered by the Information Governance Policy team, but generally a published assessment would only be rolled back after the deadline if there are extenuating circumstances.

Once they have been published, the assessment and requirements can still be viewed from the assessment screen whilst a user is logged into the Toolkit.

In the unlikely event that an assessment needs to be deleted it can be done by clicking the 'Reset and start this assessment again' link on the "**Assessments**" page and clicking 'Continue' in the confirmation box. This can only be done if the assessment has not already been published. **Please note:** if the assessment is reset all requirements answered and scores entered will be lost and a new assessment will have to be completed. **Take care not to reset an assessment by accident.**

Multiples

A Head Office staff member can now centrally view the submissions of individual stores through a central log-in. To access this functionality please contact the Helpdesk with the name and address of the pharmacy head office.

Help

Support in registering and using the toolkit is available from the DH Informatics Helpdesk at Exeter.helpdesk@nhs.net or telephone **0845 371 3671**.