

---

**Public Board Meeting 25<sup>th</sup> March 2010**

**Information Governance Standards: 2009 - 2010 End of Year Assessment**

**Presented by:** Nick Evans, Director for Partnerships

---

**1. Purpose**

- 1.1 The purpose of this report is to assure the Board of the Trust's position at the end of year on levels of compliance against all 62 standards of the national Information Governance Toolkit (IGT) v7.0.

**2. Background**

The Trust made its annual submission against v6 of the IGT on 31st March 2009 for the period 1<sup>st</sup> April 2008 – 31<sup>st</sup> March 2009. The Board has been informed during 2009/2010 of performance scores throughout the year and of any shortcomings and key priorities identified.

**3. IG Toolkit v7.0 – End of Year Submission**

- 3.1. The Trust has made progress against 10 standards since our performance declaration on 31<sup>st</sup> October 2009. These achievements have been summarised in Appendix 1.
- 3.2. The Trust's overall performance through the year is summarised in the chart below.

Initiative	Results Mar 31 <sup>st</sup> 09 (V6.0)	Baseline Results 31 <sup>st</sup> July 09 V7.0	Performance Results 31 <sup>st</sup> Oct 09 V7.0	End of Year Results 31 <sup>st</sup> Mar 2010 V7.0
Clinical Information Assurance	66% (AMBER)	58% (AMBER)	66% (AMBER)	66% (AMBER)
Confidentiality and Data Protection Assurance	90% (GREEN)	90% (GREEN)	90% (GREEN)	90% (GREEN)
Corporate Information Assurance	8% (RED)	25% (RED)	25% (RED)	58% (AMBER)
Information Governance Management	68% (AMBER)	73% (GREEN)	77% (GREEN)	84% (GREEN)
Information Security Assurance	61% (AMBER)	66% (AMBER)	69% (AMBER)	73% (GREEN)
Secondary Use Assurance	69% (AMBER)	69% (AMBER)	72% (GREEN)	78% (GREEN)

	Results (2008/2009 V6.0)	Baseline Results 31 <sup>st</sup> July 2009 V7.0	Performance Results 31 <sup>st</sup> Oct 2009 V7.0	End of Year Results 31 <sup>st</sup> Mar 2010 V7.0
Overall Results	66% (AMBER)	68% (AMBER)	71% (GREEN)	77% (GREEN)

Significant improvements have been made in the Corporate Information Assurance Initiative, with an audit of corporate records currently being undertaken within the Trust Offices & IM&T to meet the requirements of IG 604. This requires that the Trust carry out an audit of corporate records and information in key areas to establish the type of records it currently has, the form in which they are held and the record keeping systems currently in use. The purpose of the audit will enable the Trust to:

- Ensure corporate record retention periods are in line with the Trust's 'Records Retention & Disposal Schedules'
- Make progress against the Trust's 'Records Management Strategy'
- Confirm the location of records to assist the Trust to respond promptly to FOI requests for information
- Determine whether duplicate records exist
- Determine whether it is necessary to retain the record
- Assess current and future storage requirements.
- Identify record creation & disposal concerns
- Create an Information asset register

The audit covers paper and electronic records and refers to information generated by the Trust other than clinical (or patient) information. No storage or retention issues have as yet been identified. This piece of work will continue through 2010/2011.

#### **4. Statement of Compliance (SoC)**

All organisations that sign the NHS Statement of Compliance must meet attainment level 2 or above against 25 key predetermined standards within the IGT.

The Trust failed to meet level 2 for one of these key standards on 31<sup>st</sup> July 2009 - Baseline Assessment. A documented improvement plan to rectify the shortfall was submitted to the SHA in September and the Trust now meets level 2 or above for all 25 key standards.

#### **5. IG Toolkit (IGT) 2010/2011 – V8.0**

The next version of the IG Toolkit is not due to be released until July 2010. When this is available the Trust will be able to determine the key priorities for 2010/2011. In the interim these will continue to be;

- Implement the Corporate Records Management Policy and complete the audit and inventory of Corporate Record keeping (paper and electronic).
- Developing an Information Risk Management framework to support the Senior Information Risk Officer (SIRO) and meet IG 301. (This includes the appointment of an Information Security Officer)
- Develop and implement the NHS Number Standard for Secondary Care to meet IG 401.
- Pseudonymisation Implementation Project – enabling the NHS to undertake secondary use of patient data in a legal, safe and secure manner by April 2011. This project will be incorporated as a requirement in v8 of the IG Toolkit.

#### **7. Recommendation**

The Board is asked to:

- Approve the contents of this report.
- Note the annual IG assessment which will be submitted on 31<sup>st</sup> March 2010 – Appendix 2
- Agree to receive a further report in November 2010 summarising the Trust's baseline and performance scores for 2010/2011 based on v8 of the IG Toolkit.

**Nick Evans**

Director of Partnerships