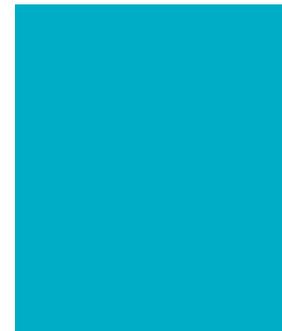
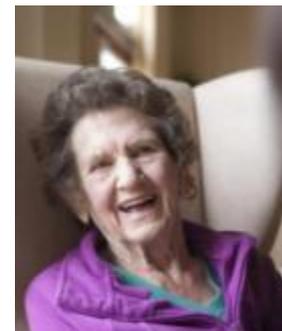


# Securing excellence in IT Services

Operating Model for Community Pharmacies, Appliance Contractors, Dental Practices and Community Optometry



December 2012



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**01 Glossary of terms**

Term	Acronym
Choose and Book	CAB
Clinical Commissioning Group	CCG
Commissioning Support Unit	CSU
Electronic Prescription Service	EPS
Health and Social Care Information Centre	HSCIC
Information Governance Toolkit	IGT
Information Technology	IT
NHS Commissioning Board	NHS CB
NHS Commissioning Board Area Team	NHS CB ATs
National Role-based Access Control Database	NRD
Summary Care Record	SCR

### **Purpose**

The purpose of this document is to set out the future operating model to take effect from 1<sup>st</sup> April 2013 and to make clear organisational responsibilities associated with these arrangements.

A key principle of this model is based on the safe transfer of existing support services and assurance processes for use of national IT services and their ongoing maintenance for primary care contractors.

The document does not address any human resource implications associated with the revised operating model. Nor does it address issues associated with technology linked to payment services.

### **The document describes:**

- Scope of support services and assurance requirements
- Accountabilities and responsibilities for service delivery
- Tasks and functions to support service delivery
- Financial support

### Background

Primary care trusts (PCTs) provide support services and assurance for use of national IT services for Community Pharmacy, Appliance Contractors, General Dental Practices and Community Optometry (primary care contractors) and therefore the safe transfer of these functions into the new commissioning system is highly important to ensure business continuity.

As the NHS Commissioning Board (NHS CB) commissions the provision of services from these primary care contractors, it will need to provide the support and assurance from these contractors for use of national IT services such as Electronic Prescription Service (EPS); NHS mail. As part of this, the NHS CB is directly responsible for:

- **National Systems Implementation**  
by supporting planning and co-ordination to access national IT systems to improve services
- **Core Administrative Services**  
by providing access to NHS mail and administering password resets
- **Registration Authority**  
for all primary care contractors where required to support national IT systems (administration of access to clinical and business systems)
- **Clinical Safety and Assurance**  
to assure safe use and deployment of clinical systems (adherence to dataset change notices)

- **Information Governance**

IT advice & guidance to assist the contractors obligations for Information Governance Toolkit (IGT) compliance

- **Miscellaneous**

administration of any necessary stationery (eg dispensing tokens).

The operational delivery of these support services and assurance will be incorporated into the NHS CB's operating arrangements, through its regional/area teams. GP IT services will be managed by clinical commissioning group on behalf of the NHS CB. Refer to: *GP IT Services Operating Arrangements (December 2012)*.

The NHS CB will continue to set the overall direction, standards, strategy and budgets.

The NHS CB will commission access to national IT services for these primary care contractors where there is a policy directive<sup>(1)</sup>. As part of this it will need to provide support and assurance linked to these services. The NHS CB through its regional/area teams may choose to deliver these functions itself or make arrangements for Commissioning Support Units (CSUs) or any other IT provider, to deliver them.

In some cases where PCTs, at their discretion, have funded the adoption of national IT service for primary care contractors where a national directive is not in place (for example SCR to community pharmacies and EPS to dental practices), the NHS CB through its regional/area teams will manage these legacy arrangements from PCTs through transition subject to review going forward.

Primary care contractors requiring access to national IT services to meet local strategic initiatives to improve service delivery will seek approval from the NHS CB area team to agree financial arrangements and responsibilities.

Primary care contractors will remain responsible for their local IT provision to support their service and any implementation of national systems; they will be free to choose any local IT delivery organisation. This will include training, associated hardware and network services. If there is any additional software installed on NHS networks that may have an impact on core IT operations, the necessary approvals will need to be sought from the NHS CB through its area teams.

IT assets and business support systems funded entirely by primary care contractors are not covered by these arrangements.

In addition, national systems and services will be developed and delivered by the Health and Social Care Information Centre (HSCIC) for local implementation by these primary care contractors IT supplier.

Any service provider appointed by the NHS CB will have to deliver to a set of quality standards, including compliance with Information Governance Toolkit (IGT), determined by the NHS CB.

Any local IT provider appointed by the primary care contractor will have to support their primary care contractor to deliver this set of quality standards to enable compliance.

The NHS CB, through its area teams, will be responsible for ensuring that primary care contractors and any IT service provider appointed by the NHS CB will comply with their contractual obligations.

*(1) Policy directive encompasses commitments from the NHS Commissioning Board and from the Secretary of State's mandate to the NHS CB.*

#### Support Services and assurance for National IT Systems arranged by the NHS CB

Functional Scope		Description
1.1	<b>National Systems Implementation</b>	Planning and local implementation support for utilisation of nationally mandated services (eg EPS). This includes project management to co-ordinate deployment activities, awareness of business change, business continuity and data quality programmes if applicable. Specifically in connection with EPS to ensure equitable provision of information and support is applied across local health community to support a level playing field.
1.2	<b>Core Administrative Services</b>	Providing access to NHS mail and local administrator support for resetting of passwords.
1.3	<b>Clinical Safety and Assurance</b>	Provide assurance that primary care contractors meet requirements of ISB 0160 (DSCN 18/2009) 'Management of Clinical Risk relating to the deployment and use of health software' are met.
1.4	<b>Registration Authority</b>	Deliver the management of position-based access control, issuing smartcards and monitor user adherence to security policy for use of smartcard. (Particular consideration should be given to primary care contractors business needs).
1.5	<b>Information Governance</b>	Advising primary care contractor services in completing the appropriate sections of the IGT and carry-out the investigation management of possible information security breaches & incidents.
1.6	<b>Miscellaneous</b>	Administration of ensuring the necessary stationery is distributed in particular dispensing tokens.

## IT support provision responsible by the Primary Care Contractors

Functional Scope		Description
2.1	<b>National Systems Implementation</b>	Local implementation for nationally mandated services (eg EPS). This includes providing hardware, system administration support, training, data quality improvement and optimisation of business benefits.
2.2	<b>Networking Services</b>	Ensuring continued connection to national broadband services (eg N3) and provide ongoing maintenance.
2.3	<b>Core Administrative Services</b>	Ensure users comply with code of connection policy.
2.4	<b>Clinical Safety and Assurance</b>	Ensuring that the requirements of ISB 0160 (DSCN 18/2009) 'Management of Clinical Risk relating to the deployment and use of health software are met.
2.5	<b>Registration Authority</b>	Ensuring all service users adhere to security policy in use of smartcard.

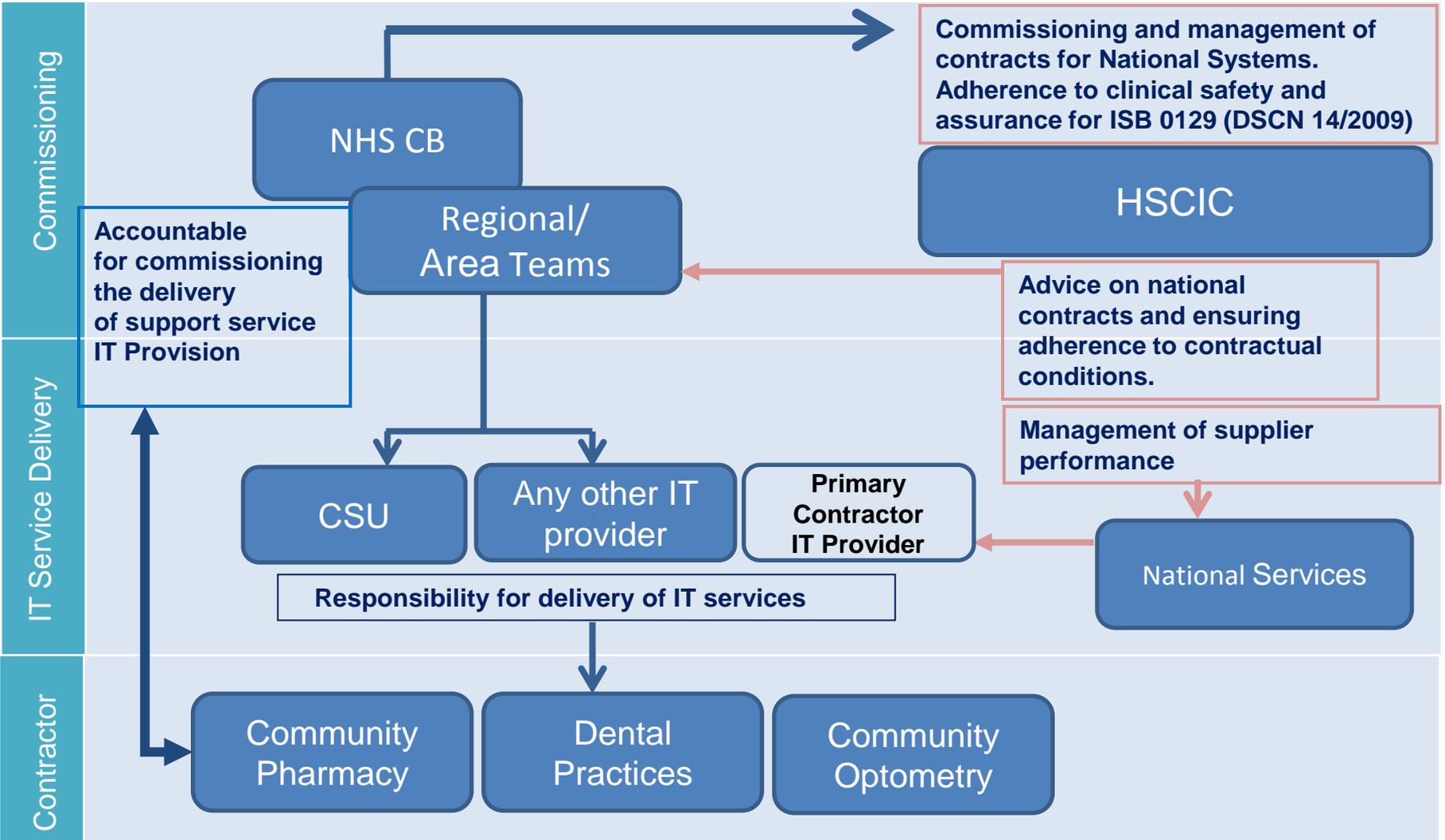
## Business Support Systems and services that are out of scope of these arrangements

### Functional Scope

### Description

3.1	<p>Business Support Systems and services that support Community Pharmacy, Appliance Contractors, General Dental Practices and Community Optometry services as a business and is the responsibility of these contractors.</p>	<ul style="list-style-type: none"> <li>• Managing and maintaining systems that support the service as a business eg) payroll, HR systems , telephony systems, photocopiers, faxes.</li> <li>• Providing hardware, software, support and disposal/replacement and assurance for all service funded systems and equipment.</li> <li>• PAT testing and consumables for all IT equipment used by the service.</li> <li>• Clinical safety and assurance to comply with ISB 0160 (DSCN 18/2009) and ISB 0129 (14/2009) for manufacture and use of healthcare software purchased by the Service.</li> <li>• Insurance for service owned IT equipment and cover for consequences of loss.</li> </ul>
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Relationships to deliver support and assurance to primary care contractors



Commissioner		Service being commissioned	Commissioned from
<b>NHS CB</b> <b>Accountable for commissioning and delivery of IT Provision</b>	through its P&I Directorate	National system (with associated support services) and management of contracts	HSCIC
	through its regional and area teams	National system planning and co-ordination of implementation (ensuring equitable provision of information and support across local health community) and provide project management support if applicable	CSUs or any other provider
	through its regional and area teams	Clinical safety and assurance for deployment and use of health care software in compliance with ISB 0160 (DSCN 18/2009)	primary care contractors
	through its regional and area teams	Access to NHS mail service and administer password resets	CSUs or any other provider
	through its regional and area teams	Registration authority services	CSUs or any other provider
	through its regional and area teams	Information Governance advice related to completing IGT	CSUs or any other provider
<b>HSCIC</b> <b>Responsible for commissioning national systems and establishing national contracts</b> (on behalf of NHS CB)		National systems and associated support services and ensure compliance with supplier requirements for ISB 0129 (DSCN 14/2009) manufacturer of healthcare software	system suppliers
<b>Primary Care Contractors</b> <b>Responsibility for delivery of IT services</b> (through their IT Provider)		National systems implementation support, training, testing and installation as specified in the “NHS National System Best Practice Guidance”, N3 setup and maintenance support service, and clinical safety and assurance for the manufacture of health software in compliance with ISB 0129 (DSCN14/2009)	primary care contractor local IT system supplier

Organisational Body	Accountable for management	Service accountable for	Accountable for delivery
NHS CB through its P&I Directorate		National systems and support services for delivery and management of contracts commissioned by NHS CB	HSCIC
NHS CB through its regional and area teams		National systems - planning and co-ordination to support local health community implementation, ensuring equitable provision of information and support	CSUs or any other provider
NHS CB through its regional and area teams		Clinical safety and assurance - adherence to for deployment and use of healthcare software in compliance with ISB 0160 (DSCN 18/2009)	primary care contractors
NHS CB through its regional and area teams	HSCIC	Clinical safety and assurance - adherence to national system contracts including the requirements for the manufacture of healthcare software ISB 0129 (DSCN 14/2009)	system suppliers
NHS CB through its regional and area teams		Access to NHS mail and administer password resets	CSUs or any other provider
NHS CB through its regional and area teams		Registration authority services - delivery of smartcard service	CSUs or any other provider
NHS CB through its regional and area teams		Registration Authority Services- adherence to RA Policies	primary care contractors
NHS CB through its regional and area teams		IGT compliance	primary care contractors

Organisational Body	Accountable for management	Service accountable for	Accountable for delivery
NHS CB through its regional and area teams		IT advice and support in completing the appropriate sections of the IGT and support investigation management of possible information security breaches and incidents	CSUs or any other provider
NHS CB through its P&I Directorate		National systems/services – delivery and management of contracts commissioned by NHS CB	HSCIC
NHS CB through its regional and area teams	HSCIC	Ensuring adherence to national system contracts	system suppliers
NHS CB through its regional and area teams (with advice from HSCIC)		Compliance with any terms and conditions for national systems that apply to end users	primary care contractors
NHS CB through its regional and area teams (with advice from HSCIC)		Compliance in use of practice of N3 services adhering to N3 Code of Connection	primary care contractors

Organisational Body	Service accountable for	Accountable for delivery
<b>Other Primary Care Contractors</b>	To implement national systems as specified in the “NHS National System Best Practice Guidance”, providing support for training, testing and installation.	primary care contractor local IT system supplier
	Setup connection to N3	primary care contractor local IT system supplier
	Clinical Safety and Assurance – adherence to deployment of health care software ISB 0160 (DSCN 18/2009).	primary care contractor local IT system supplier
<b>CSUs or any other providers</b>	Services required to support delivery of IT provision	IT suppliers

## 07 Tasks and functions

There is a responsibility across service providers to provide support services for use of national IT systems as follows:

Function	NHS CB	CSU or any other IT Service Provider	HSCIC	Primary Care Contractors	Local IT Suppliers
National Systems Implementation	<p>Will set overall direction of strategy, operating model, budget and assign to HSCIC for commissioning nationally mandated IT Systems and Services.</p> <p>To ensure a level playing field through equitable provision of information and support across local health community in proceeding to release EPS2 or other deployments.</p>	Commissioned to manage the planning, co-ordination and project management (if applicable) of national systems across Local Health Community.	Procure Systems, manage Suppliers and provide contractual oversight and deployment of best practice guidance to NHS CB ATs and primary care contractors.	Adopt and optimise national initiatives. Comply with terms of contractual agreements and meet any obligations under the HSCIC use of national IT systems.	Commissioned by primary care contractors to implement in accordance with deployment best practice guidance.
Networking Services	Will set policy and direction for national services.	No direct responsibility.	Commission N3 or alternative national network services and manage suppliers.	Comply in use of practice of N3 services adhering to N3 Code of Connection and any local requirements.	Maintain LAN services and oversee connection of N3 Services.

## 06 Tasks and functions

Function	NHS CB	CSU or any other IT Service Provider	HSCIC	Primary Care Contractors	Local IT Suppliers
Core Administrative Services	Responsible to commission support.	Commissioned to deliver service for access to email services (eg NHS mail) and provide password resets.	Provide guidance on any administrative requirements for NHS mail.	Adherence to policy and procedures for use of NHS mail services and report non compliance to NHS CB area teams.	Suppliers with support access in use of NHS mail.
Clinical Safety and Assurance	Will investigate issues/complaints and take remedial action for non compliance to ISB 0160 (DSCN 18/2009) for safe use of healthcare systems.	No direct responsibility.	Will be responsible for ensuring clinical system supplier compliance with ISB 0129 (DSCN 14/2009) for manufacture of health software.	Ensure adherence of safe use of systems with ISB 0160 (DSCN 18/2009).	Will be responsible for compliance of ISB 0129 (DSCN 14/2009) and ISB0160 (DSCN 18/2009).
Registration Authority	Will be responsible for commissioning a registration authority service and performance management that primary care contractors are adhering to the security policy for use of smartcard.	Commissioned to deliver the registration authority including issuing and management of smartcards and monitor user adherence to security policy for use of smartcard.	Will set standards for suppliers.  Maintain and publish the National RBAC Database (NRD).	Primary care contractors authorise the issue, revocation and configuration of smartcards for any access by individuals working in their service.  Ensure adherence to registration authority security policy for use of smartcard.	Suppliers will support the smartcard model and the NRD in their systems.

## 06 Tasks and functions

Function	NHS CB	CSU or any other IT Service Provider	HSCIC	Primary Care Contractors	Local IT Suppliers
Information Governance	<p>Will set policy and ensure compliance with NHS IG requirements.</p> <p>Responsible for commissioning service to support these primary care contractors in completing IGT and support investigation and management of possible information security breaches &amp; incidents.</p> <p>Will be responsible for the performance managing the compliance with IGT.</p>	<p>Commissioned to support these primary care contractors in compliance of IG requirements and completion of appropriate returns.</p> <p>Will provide the information needed to investigate possible information security breaches and incidents.</p>	No direct responsibility.	Completion of IGT and compliance with NHS IG requirements.	Completion of supplier IGT and maintenance of systems which allow these primary care contractors to comply with NHS IG requirements.
Miscellaneous	Will be responsible for the provision of necessary stationery to support use of national IT service (eg dispensing tokens).	No direct responsibility.	No direct responsibility.	Will use stationery in accordance with terms and conditions of service.	No direct responsibility.

**07 Finance****Financial arrangements:****IT provision**

The NHS CB will be responsible for the management of revenue and capital budgets. Current contract funding arrangements will be continued and will be based on 2012/13 expenditure levels. Overall funding will not exceed 2012/13 flat cash expenditure.

Central payments associated with use of nationally compliant pharmacy systems for EPS release 1 and 2 will continue to be provided through NHS Business Services Authority.

**IT assets**

IT asset ownership and replacement continues to be the responsibility of the contractor.

### **Securing excellence in commissioning primary care (June 2012)**

Describes the system by which the NHS commissioning board will use the £12.6bn the NHS spends on commissioning primary care to secure the best possible outcomes for patients. In time, through this new system, the NHS CB will also develop the future strategy for primary care.

<http://www.commissioningboard.nhs.uk/files/2012/06/ex-comm-pc.pdf>

### **Informatics: The future, an organisational summary (July 2012)**

Describes an overview of the future system for informatics, implementing the vision for transforming information for the NHS, public health and social care, as set out in the information strategy and a summary description of the roles of the key organisations.

<http://www.dh.gov.uk/health/2012/07/informatics-future/>

### **NHS Transition Guidance: identifying legal title in assets and liabilities and completing transfer documentation**

Guidance to ensure a transparent and auditable process to be adopted for transitioning assets and liabilities in adherence to the NHS Act 2006 (NHS Act) made by the Health and Social Care Act 2012 (NHS Transition).

## **PCTs to be added to the Electronic Prescription Service (EPS) authorisation directions from 1 December 2012**

Guidance to support release two EPS allows the electronic transfer of prescriptions between prescribers and dispensers.

<http://www.dh.gov.uk/health/2012/08/pcts-eps-directions/>

## **“Best Practice” NHS requirements for supporting EPS Release 2 go-lives**

Implementation guidance to support go-live of EPS2.

## **IT/EPS allowances**

IT deployment allowances for pharmacy compliant systems.

[http://www.psnc.org.uk/pages/eps\\_allowances.html](http://www.psnc.org.uk/pages/eps_allowances.html)