IG Toolkit for Health Board and Trusts

Submission Reports 2020-21

PECYN CYMORTH LLYWODRAETHU GWYBODAETH CYMRU

WELSH INFORMATION GOVERNANCE TOOLKIT

Introduction

This year we are introducing a Scoring Matrix to support your IG Toolkit submissions. The Matrix enables us to produce a report for each organisation based on each assessment within the seven sections of the toolkit, together with an overall view of your submission. The aim is that this breakdown will enable the organisation to easily identify areas for improvement which in turn will help to inform your IG Improvement Plan.

Scoring Matrix

Each question within each assessment has been allocated a score depending on its level of importance. For example, a question with a legal requirement attached has been weighted heavier than one which is considered as good practice. The report attached is broken down by levels to provide you with an indication of where the organisation is achieving the points and to provide you with an idea of your level of compliance.

An organisation achieving 100% on Level One across all assessments would be considered achieving '**Foundation stage** – indication of working towards basic IG compliance, however some areas are still considered High Risk and require marked improvement'

An organisation achieving 100% on Level One and Level Two across all assessments would be considered achieving '**Satisfactory stage** – indication of meeting an acceptable standard of IG compliance with marked improvements achieved, however some areas may be considered Medium Risk'

An organisation achieving 100% on Level One, Level Two and Level Three across all assessments would be considered achieving '**Competent stage** – indication of a good level of compliance with all areas of IG compliance achieved, small improvements may be required, however generally considered Low Risk'

Each assessment within the toolkit is scored independently therefore, unless an organisation scores 100% in each assessment at the Level One stage we are unable to state, 'Level One achieved' (across the toolkit). Therefore, the percentage scores for the levels, on the report attached, indicate whether the organisation has met Level One across all assessments or at least indicates how close you are to doing so. The report also provides a breakdown by the sections, Business Responsibilities, Business Management, Individual Rights, Managing and Securing Records, Technical, Physical and Organisational Measures and Information Governance Incident Management. This is then further broken down into each individual assessment within each section. The hope is that this breakdown will allow the organisation to easily identify areas for improvement and help to inform your IG Improvement Plan.

However, as the IG Toolkit is a self-assessment, and each organisation's responses to it have not been verified, these figures can only offer an indication of compliance. The scoring matrix works by recognising if an answer has been inputted for each question, therefore if the organisation has inputted any negative answers, for example, *'No current policy in place, plans to develop'* the scoring matrix will not reflect the true result.

Assessment Levels

The Levels are not designed as a scoring mechanism, they aim to provide stages of progression and for organisations to view improvement. Rather than having the assessments with, for example 12 questions per assessment, we have divided them into three stages to make it easier to complete, demonstrate stages of compliance and improvement. Although not always set in stone the levels try to follow a process of improvement, the following examples set out a summary for Policies and Procedures.

Level One = **Implement** – Sets out the minimum that the organisation should have in place

For example: "The organisation has a number of policies and procedures in the context of IG. National policies such as Information Security, IG and Email Use policy have been adopted and made available to staff"

Level Two = **Establish/Improve** – Here we expect the organisation to follow through in establishing the requirements and work to improve on them

For example: "There is a review process in place for all policies and procedures and any changes are communicated to staff"

Level Three = **Review/Report** – At this stage the organisation should be reviewing the processes, etc and be reporting on them

For example: "Compliance with policies and procedures are regularly monitored to ensure they have been adopted in practice throughout the organisation"

The 'Form' does allow the organisation to populate answers in Level Two before Level One is fully populated, however the system will not 'auto check' Level One until all answers have been populated in that level. This is to ensure the organisation has considered all other questions/stages before jumping straight into spot checks and audits, etc without considering if they need to be reviewed. However, the scoring matrix works by recognising if individual questions have been completed, therefore if the organisation has populated a Level Two answer before completing Level One it may result in the Scoring Matrix displaying a higher compliance score for Level Two than Level One.

If you have any queries regarding your report, please email welshigtoolkit@wales.nhs.uk.