

# Welsh IG Toolkit for GMPs Completion Scoring Report

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WELSH INFORMATION GOVERNANCE TOOLKIT



## Introduction

In 2020 we introduced a Completion Scoring Report to support your IG Toolkit submissions. The scoring matrix enables us to produce a report for each Practice based on each assessment within the three sections of the toolkit, together with an overall view of your submission. The aim is that this breakdown will enable those Practices who have provided considered and accurate answers to the assessments, 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 Practice is achieving the points and to provide you with an idea of your level of compliance.

A Practice 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'

A Practice 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 achieve, however some areas may be considered Medium Risk'

A Practice 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'

## Assessment Levels

The Levels are not designed as a scoring mechanism, they aim to provide stages of progression and for Practices 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 Practice should have in place

For example: "The Practice have a number of documented policies and procedures in the context of IG. These have been made available to staff. All identified gaps are currently being documented and addressed"

**Level Two = Establish/Improve** – Here we expect the Practice 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 Practice 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 Practice needs to complete Level One before being able to complete Level Two, etc. For example, a Practice would need to have policies and procedures in place before they could be reviewed, and any changes communicated to staff. These updates would need to then be in place before any spot checks and audits can be carried to ensure they are implemented within the Practice.

The 'Form' does allow the Practice 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 Practice has considered all other questions/stages before jumping straight into spot checks and audits, etc without considering if they need to be reviewed.

## Scoring Reports

Each assessment within the toolkit is scored independently therefore, unless a Practice 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 indicate whether the Practice 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 three sections, Information Governance Management, Individual Rights and Obligations and Technical, Physical and Organisational Measures. This is then further broken down into each individual assessment. The hope is that this breakdown will allow Practices to easily identify areas for improvement and help to inform your IG Improvement Plan.

However, it should be noted the IG Toolkit is a self-assessment, therefore the reports can only confirm which questions have been answered, they do not acknowledge the quality of those answers or the uploaded documentation.

If you have any questions regarding your IG Toolkit Report please contact us via [WelshIGToolkit@wales.nhs.uk](mailto:WelshIGToolkit@wales.nhs.uk)

