

# Welsh IG Toolkit for GMPs

This User Guide explains how to  
complete the assessments within the  
Welsh Information Governance Toolkit  
for GMPs



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## Introduction

Welcome to the [Welsh Information Governance Toolkit 2021/22](#). The Toolkit is a self-assessment that enables organisations to measure their level of compliance against National Information Governance Standards and legislation and ascertain whether information is handled and protected appropriately within the organisation.

The assessment will help identify those areas which require improvement and assist in informing the organisation's IG Improvement Plan. It may also provide re-assurance to staff, patients and other health-care organisations that their information is processed securely and appropriately. The IG Toolkit consists of simple to follow assessments, comprising of a range of rudimentary questions requiring tick box answers, one-line statements and the facility to upload or link to documents as evidence.

To enable the IG Toolkit to be an extremely useful IG knowledge base and training resource, the toolkit should be followed methodically whilst referring to the supporting resources on the [IG Website](#). We suggest you populate the Practice's IG Improvement Plan whilst completing the toolkit, recording any identified actions and tasks required to improve IG compliance. If used as a 'Tick Box' exercise, the Practice will gain little from the process.

## 2020/21 Edition

Thank you submitting the 2020-21 edition of the IG Toolkit. A record 99.5% of GP practices submitted their return this year, a fantastic achievement.

Figure One: Welsh IG Toolkit for GMPs 2020/21 submission figures by health board locality.

| Health Boards     | No of Practices | Not Started | In Progress | Complete |
|-------------------|-----------------|-------------|-------------|----------|
| Aneurin Bevan     | 73              | 0           | 0           | 73       |
| Betsi Cadwaladr   | 97              | 0           | 1           | 96       |
| Cardiff & Vale    | 60              | 0           | 0           | 60       |
| Cwm Taf Morgannwg | 49              | 0           | 0           | 49       |
| Hywel Dda         | 47              | 0           | 0           | 47       |
| Powys             | 16              | 0           | 0           | 16       |
| Swansea Bay       | 49              | 0           | 1           | 48       |
| All Wales         | 391             | 0           | 2           | 389      |

## Latest Updates

### 2021-22 Edition

No updates have been made to the questions in this edition although where required some Tool Tips have been updated to reflect the now UK GDPR and relevant ICO guidance. A range of supporting guidance in completing the toolkit is available on the [Information Governance](#) website. A list of FAQs are also available on the website to help address some of the common enquiries received regarding



population of the toolkit. Organisations are required to submit their completed assessments by **30th September 2022**.

Despite our best efforts and substantial involvement from the Software Development Team, we regret that this has not been possible to carry over and pre-populate previously uploaded evidence. Guidance on how to view and populate the IG Toolkit following your previous IG Toolkit submission is available in the [Supporting Resources](#) section of the IG website.

## Getting Started

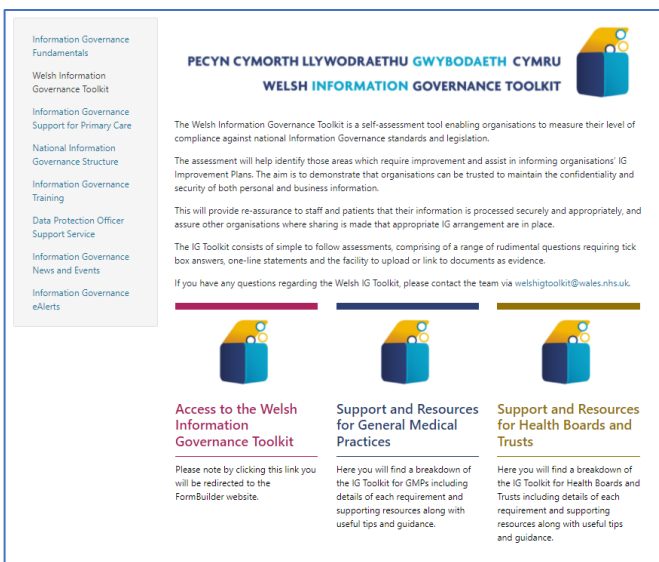
Go to the '[Information Governance website](#)'; you will find a wealth of resources on all areas of Information Governance, which will also help you with completing the assessments.

You can gain access to the toolkit through the **Welsh Information Governance Toolkit** box on the home page, followed by the 'Access to the Welsh Information Governance Toolkit' box.

Figure Two: Information Governance Front Page



Figure Three: Welsh IG Toolkit Page



You will now be on the FormBuilder site. Enter your User Name and Password; if you are a New User, have forgotten your Password or User Name or encounter any problems please contact the team at [WelshIGToolkit@wales.nhs.uk](mailto:WelshIGToolkit@wales.nhs.uk).

## NHS Wales Quality Improvement Tools


LOGIN

[Forgotten password?](#)

Courtesy [Public Health Wales](#)  
Originally developed for PHW by [NHS Wales Informatics Service](#)

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Once logged in you will be on the **Forms** page, select the **Welsh IG Toolkit for GMPs - 2021/22**. Here you will have the option to **FILL IN FORM** (the Assessments), to look at the **EVIDENCE** you've already



uploaded and to [PRINT REPORTS](#). To start your assessment, click on [FILL IN FORM](#), this will take you straight to the [Practice Information](#) page. Populate all fields and then [COMPLETE THIS PAGE](#).

## Assessments

The toolkit is broken into three main Sections, plus the [Introduction](#) and [Feedback](#) sections. Within each of these sections there are several Assessments. These can be accessed by double clicking on the tab or by clicking on the + on the left of the section heading.

Each assessment contains three Attainment Levels, which are cumulative, therefore you can only achieve the higher levels once you have met the criteria in the lower levels.

The assessment will not allow you to manually tick the attainment levels. These will automatically tick once all the answers, specific to the relevant level, have been populated.

Work your way through each assessment, starting at Level 0, then Level 1, etc. You will find a range of required input methods, for example, check box, Name, Document uploads, Date, Alternative Description, etc.

Before populating any assessment, we recommend you read the specific [Requirement](#) and supporting information for that section in full. This will provide an in-depth explanation of what is expected for the Practice to meet each level of the assessment. Each Requirement also provides links to further resources, guidance, exemplars and template documentation. Various [Supporting Icons](#) have also been included to reveal further supporting information.

Continue to work through the toolkit this way. Remember to 'SAVE THIS PAGE' as you go along. The toolkit allows you to dip in and out of the assessments as and when it suits you. There is also an 'Autosave' option you can set in the header where it automatically saves the progress for you. To quickly glance at your progress there is a progress bar on the top left-hand corner displaying your current position in the completion of the toolkit.

If you are unable to upload your evidence to the IG Toolkit, for example, if it's only available in a hard copy and scanning it is not an option, an alternative would be to detail where the evidence is held in the [ALTERNATE DESCRIPTION](#) tab provided next to the [UPLOAD](#) and [CHOOSE EXISTING](#) tabs.

## Positive Answers

**Only** insert a **positive answer** in the [ALTERNATE DESCRIPTION](#). For example, a positive answer maybe *'Records Management Policy V4 can be found in the Information\_Governance / Records\_Management / Policy and Procedure'* folder, with a negative answer being, for example, *'No current policy in place, plans to develop'*.

If you are unable to provide a **positive answer**, then please do not answer the questions and leave the fields blank. Following the Toolkit closure a report is produced for each Practice, if false positive answers are populated a true result can-not be achieved in the report.

If you want to note an answer such as 'Records Management Policy to be developed', this can be inserted in the [FREE TEXT](#) box at the bottom of each assessment. Alternatively, the [PRIORITY BOXES](#) can be used for reminders and plans you wish to note.



**NOTE** - If you have already uploaded evidence on previous submissions this will already be available by selecting the **CHOOSE EXISTING** tab.

## Welsh Information Governance Toolkit

### Information Governance Management

- Information Governance Management Structure
- Policies and Procedures
- Information Sharing
- Contracts and Agreements
- Data Protection Impact Assessments
- Management of Records
- Freedom of Information and Environmental Information Regulations
- Privacy Electronic Communications Regulations

### Individual's Rights

- Right of Access
- Right to be Informed
- Right to object, to erasure, to rectification and portability
- Rights related to profiling and automated decision making that has

### Technical Security, Physical Security and Organisational Measures

- Organisational Measures (Training and Awareness)
- Business Continuity
- IG Risk Register
- Physical Security Measures
- Technical Security Measures
- Retention Schedules, Secure Destruction and Disposal
- Surveillance Systems
- Incident Management and Reporting Data Breaches

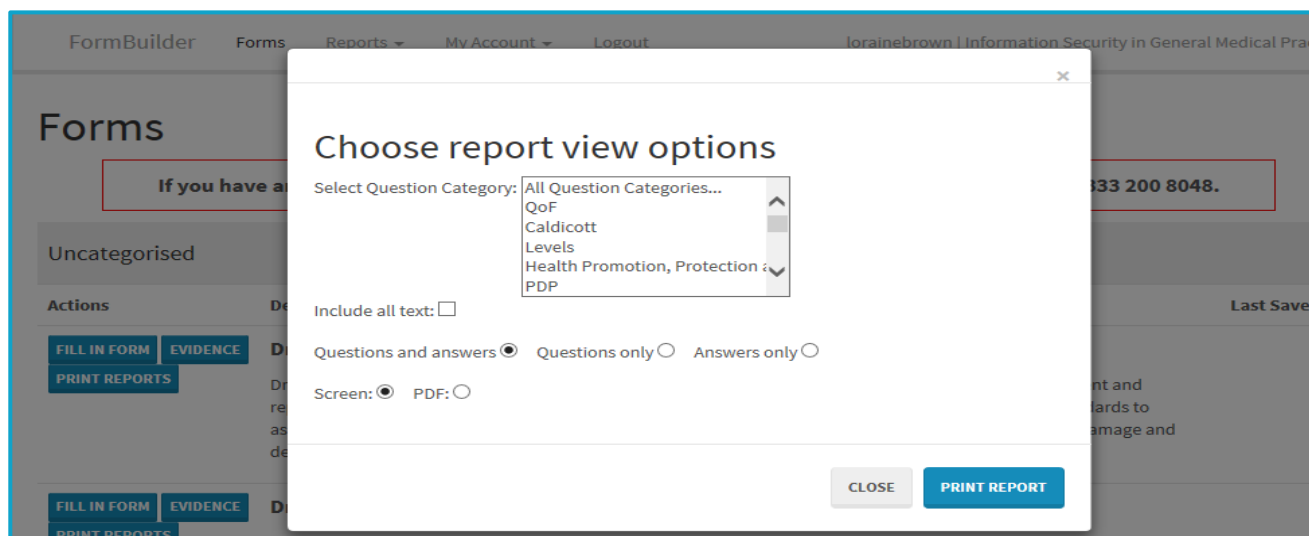
Once you have populated an assessment as far as you can for the current year you can click on **COMPLETE THIS PAGE**. This will change the assessment tab green enabling to see at a glance what is considered complete. At this point you can still make amendments to your answers or include relevant updates or documents.

## Reporting

You can generate and print off reports for your organisation at any point while completing the toolkit and indeed once completed to detail progress. This can be achieved by selecting **PRINT REPORTS** as



soon as you have logged into the toolkit. For a complete report, click on 'all questions and Categories' then print report. The report will appear on your screen. You can then choose to print, the same as you would any other document or you can choose to save, to a location of your choice.



## Submit your Toolkit return

Once you are ready to submit your final IG Toolkit return, click on the '**SUBMIT**' button, which can be found on the left of each assessment, under the navigation bar.

The IG Toolkit 2021/22 will close on **30<sup>th</sup> September 2022**.

**NOTE** - once the closing date is reached, we are unable to re-open the IG Toolkit for any late submissions.

## Useful Hints and Tips

The icons placed alongside the questions     provide examples of suggested evidence, further guidance and links to legislation and national standards.

When answering a question only use **positive answers**, see the Assessment Section above.

To delete any previous uploads from appearing in the drop-down menu when selecting **CHOOSE EXISTING**, go back to the **Forms** page and select **EVIDENCE**. A list of all the evidence uploaded will be displayed with the option to delete as required.

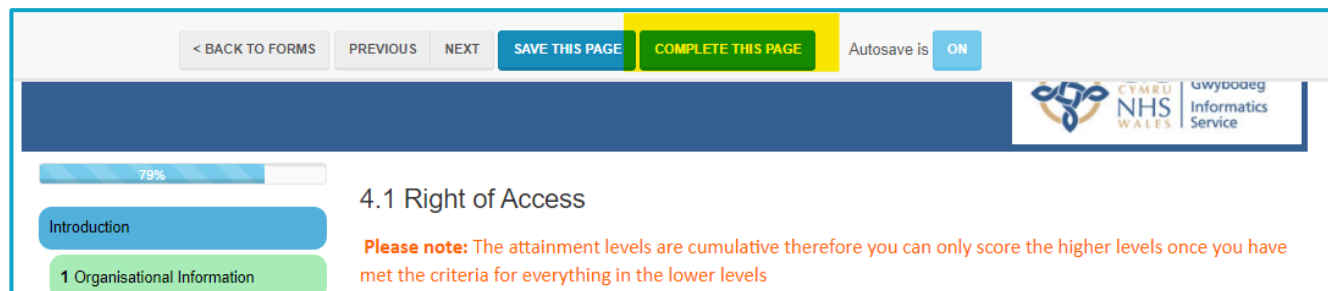
| Actions  | Description  | Saved               |
|--|--|---------------------|
| <b>EVIDENCE</b><br>PRINT REPORTS<br>SHARE SHARED FORMS | <b>Welsh IG Toolkit GMPs 2019/20</b><br>Welcome to the latest edition of the Welsh IG Toolkit for GMPs - 2019/20. The IG Toolkit establishes a robust IG assurance regime that aims to deliver a greater level of transparency and provide the public with more confidence in how their information is used, shared and protected. The Toolkit is a self-assessment, and when completed appropriately, its reporting tool enables organisations to measure their compliance against the law and recognised standards. This will assist organisations in ascertaining whether information is handled appropriately and protected from unauthorised access, loss, damage and destruction. It is envisaged this will lead to 'year on year' improvements. | 22/09/2020<br>16:54 |

A **Free Text** box can be found at the bottom of each assessment. This can be used for reminders, tracking any gaps, noting room for improvement, action etc. whilst completing the assessments.



Three **Priority** text boxes can also be found here. These are designed for any identified priorities to be recorded for each assessment. The IG Toolkit Team can print a Priority Report for you, on request in excel format, which lists all noted Priorities and Free Text information; this may help to feed into your IG Improvement Plans. A template '[Improvement Plan](#)', reflecting the IG Toolkit is available on the IG website in Supporting Resources.

You do not have to populate the whole toolkit in one sitting, you can save your answers and return to it as and when you wish. You can go in and out of the toolkit as often as you require, however once you **SUBMIT** no further changes can be made to it.



The screenshot shows the top navigation bar of the IG Toolkit. It includes buttons for '< BACK TO FORMS', 'PREVIOUS', 'NEXT', 'SAVE THIS PAGE', and 'COMPLETE THIS PAGE'. An 'Autosave is ON' indicator is also present. Below the navigation bar, a progress bar shows 79% completion. A left-hand navigation menu lists 'Introduction' and '1 Organisational Information'. The main content area is titled '4.1 Right of Access' and contains a 'Please note' message: 'The attainment levels are cumulative therefore you can only score the higher levels once you have met the criteria for everything in the lower levels'. The NHS Wales logo and 'Gwybodaeth Informatics Service' are visible in the top right corner.

There is an **Autosave** option at the top of the Form, defaulted to **ON**. A **SAVE THIS PAGE** button is also available at the top of the Form and bottom of each assessment. You will need to click the **SAVE THIS PAGE** following EVERY document upload.

Once you have populated a section you can select **COMPLETE THIS PAGE**, this which will track your progress throughout the assessments and help you to easily identify which sections are complete by turning them green on the navigation bar, on the left-hand side. You will still be able to make further updates later if required.

An excel version of the IG Toolkit questions is available on the '[Support and Resources for General Medical Practices](#)' page of the Information Governance Website.

## Further Support

Should you encounter any problems accessing the IG Toolkit or have any questions or feedback regarding the content of the IG Toolkit or the reporting function, please contact [WelshIGToolkit@wales.nhs.uk](mailto:WelshIGToolkit@wales.nhs.uk).

