

# Welsh IG Toolkit for Health Boards and Trusts

This User Guide explains how to complete the assessments within the Welsh Information Governance Toolkit for Health Boards, Trusts and Special Health Authorities, including their hosted organisations



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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 organisations 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.

No updates have been made to this edition.

A range of supporting guidance, developed to support organisations 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 **31st March 2022**.

## 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 IG Toolkit for section on the [Information Governance](#) Website home page. Within this section you will find a link to [Access the Welsh IG Toolkit](#), and [Support and Resources for Health Boards and Trusts](#).

The screenshot shows the Welsh Information Governance website. At the top, there is a logo with 'ig' and the text 'LLYWODRAETHU GWYBODAETH INFORMATION GOVERNANCE'. Below this, a paragraph states: 'This website aims to provide guidance and resources to organisations across NHS Wales in developing their IG processes in line with current legislation, national IG standards and best practice and to support them in completing the Welsh Information Governance Toolkit'. The main content is a grid of eight resource cards, each with an icon, title, description, and a 'More' button. The cards are: 1. Information Governance Fundamentals (Legislation, Guidance and Standards which form the backbone of IG); 2. Welsh Information Governance Toolkit (Resources to assist organisations in completing the IG Toolkit); 3. Information Governance Support for Primary Care (Resources developed to support the services provided by DHCW PCS); 4. Information Governance Training (IG training is mandated for all staff to complete every two...); 5. National Information Governance Structure (Details of the structure of Information Governance in NHS Wales); 6. Data Protection Officer Support Service (A subscription-based DPO Support Service for GMPs...); 7. Information Governance News and Events (The latest IG News including updates to...); 8. Information Governance eAlerts (A Weekly eAlert produced by the DHCW IG department).

By clicking the link to access the Welsh IG Toolkit, you will be redirected to the FormBuilder Website. If you are a new User, you can request an account by following the [New Users](#) box. It should be noted



that FormBuilder is not accessible through Internet Explorer, therefore you should look at using Google Chrome or Microsoft Edge to access it. Should you encounter any problems contact the team at [WelshIGToolkit@wales.nhs.uk](mailto:WelshIGToolkit@wales.nhs.uk).

You will now be on the FormBuilder site. Enter your User Name and Password; if you have forgotten either please contact us via email at [WelshIGToolkit@wales.nhs.uk](mailto:WelshIGToolkit@wales.nhs.uk).

## NHS Wales Quality Improvement Tools

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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 HBs & Trusts - 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 [Organisational Information](#) page. Populate all fields and then [COMPLETE THIS PAGE](#).

## Assessments

The toolkit is broken into seven 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.

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 in 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.



# Welsh Information Governance Toolkit

## Business Responsibilities

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

## Business Management

- Business Continuity Plan (see WCAP Assessment)
- IG Risk Register
- Auditing

## Information Governance Incident Management

- Reporting Data Breaches

## Individual's Rights and Obligations

- 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 significant impact on the data subject

## Managing and Securing Records

- Record Management
- Information Asset Register
- Data Accuracy
- Retention Schedules, Secure Destruction and Disposal

## Cyber Security

- See WCAP Assessment

## Technical Security, Physical Security and Organisational Measures

- Physical Security
- Technical Security
- Organisation Measures (Training and Awareness)
- Mobile Working and Remote Access (See WCAP Assessment)
- Secure Destruction and Disposal of IT Equipment (See WCAP Assessment)
- Surveillance Systems



**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. A scoring matrix has now been developed for the toolkit; as negative answers throw the scoring out, a true result can not be achieved in the reporting.

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.

## Reporting

You can generate and print off reports for your organisation at any point while completing the toolkit and indeed once completed. This can be achieved by selecting **PRINT REPORTS** as soon as you have logged into the Health Board/Trust toolkit. You will have a variety of reports to choose from. 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 **31<sup>st</sup> March 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.



## Forms

If you have any difficulties using this form, please contact the Primary Care Service Desk on 0333 200 8048.

Uncategorised

Actions	Description	Last Saved
<a href="#">FILL IN FORM</a> <a href="#">EVIDENCE</a> <a href="#">PRINT REPORTS</a> <a href="#">SHARE</a>	<b>Welsh IG Toolkit for HBs &amp; Trusts - Pilot 2019/20</b> Welcome to the pilot version of the Welsh IG Toolkit for HBs and Trusts. Replacing the original CPIP assessment the IG Toolkit will establish a more 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 mandatory self - assessment and reporting tool to enable organisations to measure their compliance against the law and recognised standards to ascertain 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.	Last Saved



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. A Priority Report can be run off, in excel format, which lists all noted Priorities and Free Text; this may help to feed into your IG Improvement Plans. A template 'Improvement Plan', reflecting the IG Toolkit, is available on the [IG website](#).

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.

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.

[< BACK TO FORMS](#)
[PREVIOUS](#)
[NEXT](#)
[SAVE THIS PAGE](#)
[COMPLETE THIS PAGE](#)
 Autosave is [ON](#)


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- Introduction
- 1 Health Board / Trust Information
- 2 Business Responsibilities
  - 2.1 Information Governance Management

**2.1 Information Governance Management**

**Please note:** 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

Attainment	Summary Requirement	Complete
Level 0	The organisation has considered the requirements necessary to progress and confirm action is being taken	<input checked="" type="checkbox"/>

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 Health Boards and Trusts](#)' page of the Information Governance Website.

## Further Support

Should you encounter any problems accessing the IG Toolkit please contact the team at [WelshIGToolkit@wales.nhs.uk](mailto:WelshIGToolkit@wales.nhs.uk).

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

