

# Improvement Planning

This guide provides an overview of how the improvement planning functionality within the Information Governance Toolkit (IG Toolkit) for:

- **ALL** organisation types

## 'How to' .....Use the Improvement Planning Features

The IG Toolkit includes a number of features to allow you to plan improvement activities within your organisation:

### INFORMATION BOX 1

- A. Target levels & dates** - you can set a target attainment level and a date by which you will have achieved the target level for each requirement.
- B. Improvement actions** - you can define actions against each requirement to say what needs to be done to achieve the target level.
- C. Improvement plans** - you can produce a report which lists all outstanding actions (and evidence).
- D. Assigning requirement and criteria owners** - you can assign an owner to each requirement, and also to each attainment level criteria.
- E. Reminder emails** - you can send regular and/or ad-hoc reminder emails to requirement and criteria owners with incomplete evidence and/or actions.

***\*\*\*Please note you must be logged into your IG Toolkit account to access these features\*\*\****

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## A. Target Levels

- Target levels are not automatically completed by the IG Toolkit as other sections are. To use this functionality, you enter a target score for each requirement for your next assessment or interim review. For example, if you marked level 2 on a requirement on your current assessment, the target score that you set could be level 3 (or it could simply be to maintain level 2).
- You will also need to set a target date, e.g. 3 months, 6 months or 12 months from the date that you completed this assessment. There is no obligation to set target scores or dates, but many organisations prefer to do so, as otherwise the percentages on the Assessment Summary page look a little odd (e.g. target score recorded as a low percentage and unsatisfactory). The target score is for your own purposes and is not used by the HSCIC External IG Delivery team.

**To set target levels and dates:**

- **1. Click 'Work on this Assessment' on the Assessment Summary page to display the Requirements List page.**
- **2. Open the requirement that you wish to set a target for by clicking on the 'Answer' or 'Edit' button in the Action column, or 'Review' after 'Answer'.**
- **3. Click on the + sign next to the Attainment Levels heading to expand the section.**
- **4. Set the Target Level using the drop-down box.**
- **5. Set the Target Date by typing it in directly or by clicking the calendar icon and selecting the date.**

## + Guidance

## + Attainment Levels

These are cumulative eg to achieve level 3 you must complete all criteria for Levels 1, 2 and 3.

<b>0:</b> Insufficient evidence to attain Level 1.	<input type="checkbox"/>	?
<b>1:</b> The Information Governance Management Framework must be documented.	<input checked="" type="checkbox"/>	?
<b>2:</b> The Information Governance Management Framework must be signed off by the Board or equivalent senior management tier and the key governance bodies have been established and are active.	<input checked="" type="checkbox"/>	?
<b>3:</b> In-year reports and briefings on Information Governance arrangements are provided to the senior level of management in the organisation so that any necessary improvements to existing arrangements can be made.	<input type="checkbox"/>	?

  

<b>Past Level:</b> <input type="text" value="2"/> ?	<b>Current Level:</b> <input type="text" value="2"/> ?	<b>Target Level:</b> <input type="text" value="3"/> ?
<b>Requirement Reviewed:</b> <input checked="" type="checkbox"/> ?	On 26/05/2011 by Catherine Kay (caka)	
<b>Requirement Confirmed Complete:</b> <input checked="" type="checkbox"/> ?	On 26/05/2011 by Catherine Kay (caka)	
	<b>Target Date:</b> <input type="text" value="26/09/2011"/> ?	<input type="text"/>

## + Knowledge Base Resources

## + Training

## + Requirement Origins

## + Changes

<input type="button" value="Previous"/>	<input type="button" value="Next"/>	<input type="button" value="Save"/>	<input type="button" value="Done"/>	<input type="button" value="Cancel"/>
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- Once you have set your target levels, the Assessment Summary page will show your target score.

## Assessment Summary

This page gives a summary of your current IG Toolkit assessment, as well as any previous ones.

<b>Version 9 (2011-2012)</b>	
<b>Headlines:</b>	
Assessment Ref:	ASS/49399
Status:	<b>Updated</b> ( <a href="#">View History</a> )
Next Deadline:	<b>31 March 2012</b> (Publication) <b>398 days overdue!</b>
Audited:	<b>No</b> ( <a href="#">edit</a> )
<b>Progress:</b>	
Requirements Answered:	46 out of 46
Requirements Not Answered:	0 out of 46
Requirements Marked Complete:	36 out of 46
Requirements Confirmed Complete:	36 out of 46
<b>Score:</b>	
Current Score:	10% ? <b>Not Satisfactory</b> ?
Target Score:	21% ? <b>Not Satisfactory</b> ?
<input type="button" value="Work On This Assessment"/>	

- You can also include target scores in the Assessment Report by selecting the relevant option.

## INFORMATION BOX 2

- Any requirement with no target score is treated as having a target score of 0 when the percentage score is calculated for the Assessment Summary page. This will show as red 'Not Satisfactory', but has no relevance to any review of your assessment. This 'Target score' feature is purely for internal use as part of improvement planning.
- If you have marked a requirement as Not Relevant (NR) then you should also mark the target level as NR to ensure the correct target score and also to exclude the requirement from the Improvement Plan (see below).

## B. Improvement Actions

- You can define actions against the attainment criteria of each requirement to state what needs to be done to achieve the target level, and tick them off once they are complete. Incomplete actions can be included in improvement plans and reminder emails (see sections C and F below).
- You can specify an owner for each action. The owner is optional and does not have to be an IG Toolkit user. You can also specify a deadline for the action.

### To add improvement actions:

- 1. Click 'Work on this Assessment' on the Assessment Summary page to display the Requirements List page.
- 2. Open the requirement that you wish to set add an action for by clicking on the 'Answer' or 'Edit' button in the [Action](#) column.
- 3. Click on the + sign next to Attainment Levels to expand the section, and then on the + signs next to the attainment level and criteria level that you wish to set an action for.
- 4. Click the blue text (located under the yellow evidence table) that states [Add an action](#).
- 5. Enter information about the action to be completed, the name of the person who will ensure the action is carried out (the owner) and the date the action should be completed by.
- 6. Click 'Save' to save your changes.

0: Insufficient evidence to attain Level 1.

1: The Information Governance Management Framework must be documented.

The following criteria must **all** be satisfied:

a: Responsibility for leading the Information Governance work area and ensuring existing IG arrangements are reviewed has been assigned to an appropriately senior manager.

General Comments: Version 8 Comments:  
blah blah blah  
End of Version 8 Comments

Evidence Required	Obtained	Location ?	Details ?
A named individual's job description, or minutes of Board meetings, a note or e-mail assigning responsibility.	<input checked="" type="checkbox"/>	Other  	

[Add other evidence ?](#)

Action	Owner	Due Date	Complete
Obtain a copy of the job description for Joe Bloggs 	AN Other	17/08/2011 	<input type="checkbox"/>

[Add an action ?](#)

b: The planned Information Governance Management Framework must be documented and should address all the headings in the guidance materials.

## C. Improvement Plans

- You can produce a report which lists all outstanding actions (and evidence). Before doing so, ensure you have entered all actions that have to be implemented, and in particular you should enter actions for any requirement on which you do not attain level 2 or above.

To produce a standard improvement plan for your current assessment:

1. Select 'Reports' from the left hand menu.
2. Select 'Improvement Plan and Evidence Report'.
3. Leave the report criteria at their default settings.
4. Click 'Show Report'.

You are here: [Reports](#) > Evidence and Action Report

### Improvement Plan and Evidence Report

[? Help on Improvement Planning](#)

This report allows you to create an improvement plan for your organisation, optionally including pending evidence and/or actions. It is most effective when specific target levels have been set for each requirement (via the 'Requirement Details' page in the 'Assessments' section).  
Alternatively you can use this report to show evidence obtained and/or actions completed.

➤ Select the criteria for your report then click 'Show Report'.

Assessment:  [?](#)

Owner:  [?](#)

Requirement:  [?](#)

Report Type:  [?](#)

Options:

Include evidence [?](#)

Include actions

Include general comments

[Show Report](#)

- The resulting report contains only those requirements with outstanding actions or evidence.

### **INFORMATION BOX 3**

- **The report only includes incomplete items up to the target level set for the requirement.**
- **If you have not set a target level, the system assumes a target level of 3, therefore the report will include incomplete items up to level 3 for the requirement.**
- **If you have marked a requirement as not relevant (NR) but have a set a target level of 1, 2 or 3, the system will still display any incomplete items up to that level. To stop this happening, set the target level to 'NR' (this also adjusts your target score accordingly).**

**\*\*\*You can also create this report from the Assessment Summary page by clicking the blue text that states: 'Create an improvement plan and/or evidence report' \*\*\***

### **Improvement Plan Options**

The following options are available by selecting the appropriate report criteria:

- Produce a report for a specific requirement owner .
- Produce a report for a specific requirement number.
- Include completed items as well as incomplete items.
- Include only completed items (this is useful for producing an inventory of all evidence uploaded).
- Include evidence, actions or general comments.

### **Printing an Improvement Plan / Exporting to Excel**

- To print the report:
  - **5. Select the 'Print this page' link at the top of the report.**
- To export the report to excel:
  - **Select the 'Export to Excel' link at the top of the report.**

## Improvement Plan and Evidence Report

[Print this page](#) [Export To Excel](#)

### Acute Trust Test Account: Version 9 (2011-2012) Assessment

Prepared on 03/05/2013

Report Type: Improvement plan (incomplete items only) - showing items up to target level

Report Options: Include evidence and actions

#### Requirement 9-101

[DRAFT] There is an adequate Information Governance Management Framework to support the current and evolving Information Governance agenda

Requirement Owner(s): Lucy Lucas

Current Level: 2

Target Level: 3

#### Attainment Criterion 3a

The senior level of management is routinely and adequately briefed on IG arrangements, any resourcing issues and considers improvements required either in-year or for the forthcoming year.

Achieved: No

Evidence Required	Obtained	Location	Details
Minutes of meetings and formal reports.	No	[not specified]	

#### Requirement 9-105

[DRAFT] There are approved and comprehensive Information Governance Policies with associated strategies and/or improvement plans

Current Level: 1

Target Level: Not set (assumed Level 3)

- Please note that there is functionality enabling you to view and manage your evidence documentation more easily. Please see the [viewing and managing your evidence user guide](#) for further details of this functionality.

## D. Assigning Requirement/Criteria Owners

- To assign requirement or criteria owners:
  - 1. Click 'Work on this Assessment' on the Assessment Summary page to display the Requirements List page.
  - 2. Click on the blue text that states [Assign Owners](#) for the requirement that you wish to assign owners to.

# Version 9 (2011-2012) Assessment

## Requirements List

[Printable version](#) | [Downloads and booklets](#)

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Show Owners  Show Comments

Req No	Description	Status	Attainment Level	?	Action
<b>Information Governance Management</b>					
9-101	[DRAFT] There is an adequate Information Governance Management Framework to support the current and evolving Information Governance agenda  <b>Owners:</b> No owners defined for this requirement  <b>Comments:</b> <b>1a</b> Version 8 Comments: blah blah blah End of Version 8 Comments <b>1b</b> Version 8 Comments: blah blah End of Version 8 Comments <b>2a</b> Version 8 Comments: blah blah End of Version 8 Comments <b>2b</b> Version 8 Comments: blah blah End of Version 8 Comments <b>3a</b> Version 8 Comments: blah blah End of Version 8 Comments <b>3b</b> Version 8 Comments: blah blah End of Version 8 Comments	Confirmed Complete	Level 2 <input checked="" type="checkbox"/>	<a href="#">Assign Owners</a>	<input type="button" value="Edit"/>

- 3. You will be presented with the 'Requirement Owners' page which will include a list of registered IG Toolkit users for your organisation.
- 4. You can assign an owner to take overall responsibility for the requirement or you can assign owners to specific criteria of the requirement.

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➤ Assign requirement owners in the table below and click the 'Save' button.

**8-101**

There is an adequate Information Governance Management Framework to support the current and evolving Information Governance agenda

User	Overall Responsibility	Attainment Item Criteria					
		1a	1b	2a	2b	3a	3b
Chris Clark (chcl)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Catherine Kay (caka)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Niall Litton (nili)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Nick Rhodes (nirh)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Steve Shaw (stsh)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Christopher ExtremelyLongName (chex)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- For ease of reference the Attainment Item Criteria Descriptions are also viewable on this page for you to refer to when assigning ownership.

### **Requirement Owners versus Action Owners**

- As explained above, you can set up owners for requirements and for criteria within a requirement. When planning improvements you can also assign owners for individual actions (see section B). All 'ownership' roles are optional and your use of them will depend on your local working procedures.

#### **INFORMATION BOX 4**

<b>REQUIREMENT / CRITERIA OWNERS</b>	<b>ACTION OWNERS</b>
<ul style="list-style-type: none"> <li>• <b>Must be IG Toolkit users.</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Do not need to be IG Toolkit users.</b></li> </ul>
<ul style="list-style-type: none"> <li>• <b>Receive any reminder emails you send (see section F below).</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Do not receive reminder emails UNLESS you copy them into an ad-hoc email sent to a requirement / criteria owner.</b></li> </ul>

**You can have more than one owner for a requirement or criteria.**

## **E. Reminder Emails**

- You can send regular and/or ad-hoc reminder emails to requirement or criteria owners with incomplete evidence and/or actions. Reminder emails are similar in content and layout to the Improvement Plan report (see above) but are always specific to each requirement /criteria owner.

### **To create a reminder email:**

- **1. Select 'Admin' from the left-hand navigation bar.**
  - **2. Select 'Improvement Plan Admin'.**
  - **3. To send regular email reminders, tick the relevant box.**
- Regular email reminders are sent monthly on the 1st of the month (if we get enough requests we might make this more flexible). They are only sent to owners who have at least one incomplete requirement.

### **Ad-hoc emails**

#### **To send an ad-hoc email reminder that will be sent within 30 minutes:**

- **4. Select a specific requirement or criteria owner from the drop-down list or select 'All'.**
- **5. You can also COPY the email to specific email addresses (e.g. to an action owner that is not a registered IG Toolkit user) using the CC field; but there must still be a specific requirement or criteria owner selected as the primary recipient.**
- **6. If required enter a specific message to the recipient(s).**
- **7. Click 'Send Now'.**