

Guidance on Applicability and Expected Levels of Compliance with Controls Assurance Standards 2009/10

Circular HSS (PPM) 5/2003 advised that when a controls assurance standard is issued formally, HSC bodies will be expected to conduct an initial self-assessment against the key criteria and draw up an action plan to secure compliance. For 2009/10, the Northern Ireland Fire and Rescue Service (NIFRS), the Regulation and Quality Improvement Authority (RQIA), the Northern Ireland Social Care Council (NISCC) and the Northern Ireland Practice and Education Council for Nursing and Midwifery (NIPEC) are required to report their compliance with the core standards listed below.

For 2009/10, **twenty-two** standards have been developed by the Department and formally issued to the HSC.

Compliance with the core standards:

- Financial Management
- Governance
- Risk Management

is regarded as fundamental in underpinning individual Statements of Internal Control and will provide the basis for compliance with the remaining standards. In addition there will be nineteen non-core standards. These are:

- Buildings, Land, Plant and Non-medical Equipment
- Food Hygiene
- Decontamination of Medical Devices
- Emergency Planning
- Environmental Cleanliness
- Environmental Management
- Fire Safety
- Fleet and Transport Management
- Health and Safety

- Human Resources
- Infection Control
- Information and Communications Technology
- Management of Purchasing and Supply
- Medical Devices and Equipment Management
- Medicines Management
- Records Management
- Research Governance
- Security Management
- Waste Management.

This guidance sets out, in the following tables, the level of compliance expected to have been achieved in earlier years and the rates of progress the Department expects the HSC to have made towards compliance with the **22** controls assurance standards during 2008/09. In addition, the guidance indicates how each standard applies to HSC bodies, NIFRS, RQIA, NISCC and NIPEC.

If you have any queries with regard to this guidance, please contact –

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Indicator Table of Levels of Compliance

Level & Scoring	Descriptor
Negligible 0	<ul style="list-style-type: none"> No compliance anywhere in the organisation with any of the requirements set by the standard
Minimal 1 – 29	<ul style="list-style-type: none"> A low degree of organisation-wide compliance with the requirements set by the standard. Demonstrable evidence that a start has been made towards compliance in some or all parts of the organisation. Low percentage of compliance by professional people as part of the self-assessment process
Moderate 30 – 69	<ul style="list-style-type: none"> A moderate degree of organisation-wide compliance with the requirements set by the standard. Demonstrable evidence that work is ongoing across most parts of the organisation to achieve compliance, although some directorates or departments may be in the very early stages of compliance. Medium percentage of compliance by professional people as part of the self-assessment process.
Substantive 70 – 99	<ul style="list-style-type: none"> Substantive organisation-wide compliance with all requirements set by the standard. Demonstrable evidence that most parts of the organisation are meeting most of the requirements set by the standard. Only minor non-compliance issues requiring, in the main, minor action(s). High percentage of compliance by professional people as part of the self-assessment process.
Full 100	<ul style="list-style-type: none"> Full compliance across the whole organisation with all requirements set by the standard

HPSS Controls Assurance Standards – Reference Table on Applicability and Expected Levels of Compliance

Standard	Applicable to:	Year 1 2003/04	Year 2 2004/05	Year 3 2005/06	Year 4 2006/07	Year 5 2007/08	Year 6 2008/09	Year 7 2009/10
1. Buildings, land, plant and non-medical equipment	All HSC bodies		Moderate	Moderate	Moderate	Substantive	Substantive	Substantive
2. Decontamination of medical devices	HSC Trusts.		Substantive	Substantive	Substantive	Substantive	Substantive	Substantive
3. Emergency Planning	HSC Board, Trusts and NI Blood Transfusion Service Agency, Business Services Organisation, Public Health Agency			Moderate	Moderate	Substantive	Substantive	Substantive
4. Environmental Cleanliness	HSC Trusts			Substantive	Substantive	Substantive	Substantive	Substantive

Standard	Applicable to:	Year 1 2003/04	Year 2 2004/05	Year 3 2005/06	Year 4 2006/07	Year 5 2007/08	Year 6 2008/09	Year 7 2009/10
	RQIA, NISCC, NIPEC							
11. Health and Safety	All HSC bodies		Moderate	Moderate	Substantive	Substantive	Substantive	Substantive
12. Human Resources	All HSC bodies	Moderate	Moderate	Moderate	Substantive	Substantive	Substantive	Substantive
13. Infection Control	HSC Trusts		Substantive	Substantive	Substantive	Substantive	Substantive	Substantive
14. Information Communication Technology	All HSC bodies		Moderate	Moderate	Moderate	Substantive	Substantive	Substantive
15. Management of Purchasing and Supply	All HSC bodies			Moderate	Moderate	Substantive	Substantive	Substantive
16. Medical Devices & Equipment Management	All HSC Trusts and NI Blood	Moderate	Moderate	Moderate	Substantive	Substantive	Substantive	Substantive

Standard	Applicable to:	Year 1 2003/04	Year 2 2004/05	Year 3 2005/06	Year 4 2006/07	Year 5 2007/08	Year 6 2008/09	Year 7 2009/10
21. Security Management	All HSC bodies				Moderate	Substantive	Substantive	Substantive
22. Waste Management	All HSC bodies		Moderate	Substantive	Substantive	Substantive	Substantive	Substantive