

Guidance on Applicability and Expected Levels of Compliance with Controls Assurance Standards 2011/12

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.

As in 2010-11, all 22 standards apply to all 13 HSC organizations – to the extent, of course, that the content of each standard is relevant to an organization's business. From 2009-10 the three core standards of governance, risk management and financial management applied formally to the four arm's length bodies which are classed as non-departmental public bodies (NDPBs rather than as HSC organizations). Those four are the NI Fire & Rescue Service, the RQIA, the NI Social Care Council and the NI Practice & Education Council for Nursing & Midwifery. For 2010-11, these organisations were required to comply with the following non-core standards; Records Management, Information and Communication Technology and Health & Safety Management. For 2011-2012, NDPBS are required to comply with the additional non-core standards of Fire Safety, Human Resources and Management of Purchasing and Supply.

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 are 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 table, the level of compliance with the **22** controls assurance standards during 2011/12 that the Department expects HSC bodies to achieve. In addition, the guidance indicates how each standard applies to HSC bodies and NDPBs.

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

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Indicator Table of Levels of Compliance

Level & Scoring from 2011-2012	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 – 39	<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 40 – 74	<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 75 – 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:	Expected level of compliance Year 8 2010/11	Expected level of compliance Year 9 2011/12
1. Buildings, land, plant and non-medical equipment	All HSC orgs	Substantive	Substantive
2. Decontamination of medical devices	HSCB, HSC Trusts.	Substantive	Substantive
3. Emergency Planning	HSCB, HSC Trusts and NI Blood Transfusion, Public Health Agency	Substantive	Substantive

Standard	Applicable to:	Expected level of compliance Year 8 2010/11	Expected level of compliance Year 9 2011/12
4. Environmental Cleanliness	HSC Trusts	Substantive	Substantive
5. Environmental Management	All HSC Orgs	Substantive	Substantive
6. Financial Management (core standard)	All HSC orgs & NDPBs	Substantive	Substantive
7. Fire safety	All HSC orgs & NDPBs	Substantive	Substantive
8. Fleet and Transport Management	All HSC orgs	Substantive	Substantive
9. Food Hygiene	All HSC orgs Except NIBTS	Substantive	Substantive
10. Governance (core standard)	All HSC orgs &	Substantive	Substantive

Standard	Applicable to:	Expected level of compliance Year 8 2010/11	Expected level of compliance Year 9 2011/12
	NDPBs		
11. Health and Safety	All HSC orgs & NDPBs	Substantive	Substantive
12. Human Resources	All HSC orgs & NDPBs	Substantive	Substantive
13. Infection Control	HSC Trusts	Substantive	Substantive
14. Information Communication Technology	All HSC orgs & NDPBs	Substantive	Substantive
15. Management of Purchasing and Supply	All HSC orgs & NDPBs	Substantive	Substantive
16. Medical Devices & Equipment Management	All HSC Trusts and NI Blood Transfusion	Substantive	Substantive

Standard	Applicable to:	Expected level of compliance Year 8 2010/11	Expected level of compliance Year 9 2011/12
	Service Agency. Partially applicable to HSCB, PHA		
17. Medicines Management	All HSC orgs, except the NI Guardian ad Litem Agency, the NI Medical and Dental Training Agency	Substantive	Substantive
18. Records Management	All HSC Orgs & NDPBs	Substantive	Substantive
19. Research Governance	All HSC Orgs	Substantive	Substantive

Standard	Applicable to:	Expected level of compliance Year 8 2010/11	Expected level of compliance Year 9 2011/12
20. Risk Management (core standard)	All HSC Orgs & NDPBs	Substantive	Substantive
21. Security Management	All HSC Orgs	Substantive	Substantive
22. Waste Management	All HSC Orgs	Substantive	Substantive