

Guidance on Applicability and Expected Levels of Compliance with Controls Assurance Standards 2005/06

Circular HSS (PPM) 5/2003 advised that when a controls assurance standard is issued formally, HPSS bodies will be expected to conduct an initial self-assessment against the key criteria and draw up an action plan to secure compliance.

For 2005/06, nineteen standards have been developed by the Department and formally issued to the HPSS.

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 sixteen non-core standards. These are:

- Buildings, Land, Plant and Non-medical Equipment
- 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
- 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 HPSS to have made towards compliance with the 19 controls assurance standards during 2005/06. In addition, the guidance indicates how each standard applies to HPSS bodies.

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

Robert Haworth (Robert.Haworth@dhsspsni.gov.uk) Tel: 028 905 28286

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	Progress expected in 2005/06
1. Buildings, land, plant and non-medical equipment	All HPSS bodies		Moderate	Moderate
2. Decontamination of medical devices	HSS Boards, HSS Trusts and NI Blood Transfusion Service Agency.		Substantive	Substantive
3. Emergency Planning	HSS Boards, HSS Trusts and NI Blood Transfusion Service Agency, CSA, Regional Medical Physics Agency			Moderate
4. Environmental Cleanliness	HSS Trusts			Substantive
5. Environmental Management	All HPSS bodies		Moderate	Moderate
6. Financial				

Standard	Applicable to:	Year 1 2003/04	Year 2 2004/05	Progress expected in 2005/06
Management (core standard)	All HPSS bodies	Substantive	Substantive	Substantive
7. Fire safety	All HPSS bodies		Substantive	Substantive
8. Fleet and Transport Management	All HPSS bodies			Moderate
9. Governance (core standard)	All HPSS bodies	Substantive	Substantive	Substantive
10. Health and Safety	All HPSS bodies		Moderate	Moderate
11. Human Resources	All HPSS bodies	Moderate	Moderate	Moderate
12. Infection Control	HSS Trusts		Substantive	Substantive
13. Information Communication Technology	All HPSS bodies		Moderate	Moderate
14. Management of Purchasing and Supply	All HPSS bodies			Moderate
15. Medical Devices & Equipment	All HSS Trusts and NI Blood	Moderate		Moderate

Standard	Applicable to:	Year 1 2003/04	Year 2 2004/05	Progress expected in 2005/06
Management	Transfusion Service Agency. Partially applicable to HSS Boards, Central Services Agency, NI Regional Medical Physics Agency and Health Promotion Agency		Moderate	
16. Medicines Management	All HPSS bodies, except the NI Guardian ad Litem Agency and the NI Medical and Dental Training Agency	Moderate	Moderate	Moderate
17. Records Management	All HPSS bodies			Moderate
18. Risk Management (core standard)	All HPSS bodies	Substantive	Substantive	Substantive

Standard	Applicable to:	Year 1 2003/04	Year 2 2004/05	Progress expected in 2005/06
19. Waste Management	All HPSS bodies		Moderate	Substantive