

Guidance on Applicability and Expected Levels of Compliance with Controls Assurance Standards 2008/09

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 2008/09, **twenty-two** standards have been developed by the Department and formally issued to the HPSS/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 HPSS to have made towards compliance with the **22** controls assurance standards during 2008/09. In addition, the guidance indicates how each standard applies to HPSS bodies.

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	Progress expected in 2006/07	Progress expected in 2007/08	Expected level of compliance 2008/09
1. Buildings, land, plant and non-medical equipment	All HPSS bodies		Moderate	Moderate	Moderate	Substantive	Substantive
2. Decontamination of medical devices	HSS Boards, HSS Trusts.		Substantive	Substantive	Substantive	Substantive	Substantive
3. Emergency Planning	HSS Boards, HSS Trusts and NI Blood Transfusion Service Agency, CSA, Regional Medical Physics Agency			Moderate	Moderate	Substantive	Substantive

Standard	Applicable to:	Year 1 2003/04	Year 2 2004/05	Year 3 2005/06	Progress expected in 2006/07	Progress expected in 2007/08	Expected level of compliance 2008/09
4. Environmental Cleanliness	HSS Trusts				Substantive	Substantive	Substantive
5. Environmental Management	All HPSS bodies		Moderate	Moderate	Moderate	Substantive	Substantive
6. Financial Management (core standard)	All HPSS bodies	Substantive	Substantive	Substantive	Substantive	Substantive	Substantive
7. Fire safety	All HPSS bodies		Substantive	Substantive	Substantive	Substantive	Substantive
8. Fleet and Transport Management	All HPSS bodies			Moderate	Moderate	Substantive	Substantive
9. Food Hygiene	All HPSS bodies Except NIBTS				Substantive	Substantive	Substantive

Standard	Applicable to:	Year 1 2003/04	Year 2 2004/05	Year 3 2005/06	Progress expected in 2006/07	Progress expected in 2007/08	Expected level of compliance 2008/09
10. Governance (core standard)	All HPSS bodies	Substantive	Substantive	Substantive	Substantive	Substantive	Substantive
11. Health and Safety	All HPSS bodies		Moderate	Moderate	Substantive	Substantive	Substantive
12. Human Resources	All HPSS bodies	Moderate	Moderate	Moderate	Substantive	Substantive	Substantive
13. Infection Control	HSS Trusts		Substantive	Substantive	Substantive	Substantive	Substantive
14. Information Communication Technology	All HPSS bodies		Moderate	Moderate	Moderate	Substantive	Substantive
15. Management of Purchasing and Supply	All HPSS bodies			Moderate	Moderate	Substantive	Substantive
16. Medical Devices & Equipment Management	All HSS Trusts and NI Blood Transfusion	Moderate	Moderate	Moderate	Substantive	Substantive	Substantive

Standard	Applicable to:	Year 1 2003/04	Year 2 2004/05	Year 3 2005/06	Progress expected in 2006/07	Progress expected in 2007/08	Expected level of compliance 2008/09
	Service Agency. Partially applicable to HSS Boards, Central Services Agency, NI Regional Medical Physics Agency and Health Promotion Agency						
17. Medicines Management	All HPSS bodies, except the NI Guardian ad Litem Agency and the NI	Moderate	Moderate	Moderate	Moderate	Substantive	Substantive

Standard	Applicable to:	Year 1 2003/04	Year 2 2004/05	Year 3 2005/06	Progress expected in 2006/07	Progress expected in 2007/08	Expected level of compliance 2008/09
	Medical and Dental Training Agency						
18. Records Management	All HPSS bodies			Moderate	Moderate	Substantive	Substantive
19. Research Governance	All HPSS bodies					Moderate	Substantive
20. Risk Management (core standard)	All HPSS bodies	Substantive	Substantive	Substantive	Substantive	Substantive	Substantive
21. Security Management	All HPSS bodies				Moderate	Substantive	Substantive
22. Waste Management	All HPSS bodies		Moderate	Substantive	Substantive	Substantive	Substantive