

## **Guidance on Applicability and Expected Levels of Compliance with Controls Assurance Standards**

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.

Six standards have now been developed by the Department and formally issued to the HPSS. These are:

- Financial Management (core standard)
- Governance (core standard)
- Human Resources
- Medical Devices and Equipment Management
- Medicines Management
- Risk Management (core standard).

The Circular indicated that compliance with the core standards would be fundamental in underpinning individual Statements of Internal Control for 2003/04 and would provide the basis for compliance with the remaining standards.

This guidance sets out, in the following tables, the rates of progress the Department expects the HPSS to make towards compliance with the six controls assurance standards developed and issued in 2003/04. In addition, the guidance indicates how each standard applies to HPSS bodies.

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

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## Indicator Table of Levels of Compliance

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

**HPSS Controls Assurance Standards issued in 2003/04 – Reference Table on Applicability and Expected Levels of Compliance**

| <b>Standard</b>                                   | <b>Applicable to:</b>  | <b>Progress expected in 2003/04</b>           |
|---|--|---|
| 1. Financial Management<br><b>(core standard)</b> | All HPSS bodies  | <b>Substantive<br/>(Expected by 31.03.04)</b> |
| 2. Governance<br><b>(core standard)</b>           | All HPSS bodies  | <b>Substantive<br/>(Expected by 31.03.04)</b> |
| 3. Human Resources                                | All HPSS bodies  | <b>Moderate</b>                               |
| 4. Medical Devices & Equipment Management         | All HSS Trusts and NI Blood Transfusion Service Agency.<br><br>Partially applicable to HSS Boards, Central Services Agency, NI Regional Medical Physics Agency and Health Promotion Agency | <b>Moderate</b>                               |
| 5. Medicines Management                           | All HPSS bodies, except the NI Guardian ad Litem Agency  | <b>Moderate</b>                               |
| 6. Risk Management<br><b>(core standard)</b>      | All HPSS bodies  | <b>Substantive<br/>(Expected by 31.03.04)</b> |