

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.

For 2003/04, six standards were 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).

Compliance with the core standards is regarded as fundamental in underpinning individual Statements of Internal Control and will provide the basis for compliance with the remaining standards. In addition to the initial six standards, the Department has developed eight further standards which are formally issued to the HPSS for 2004/05. These are:

- Buildings, Land, Plant and Non-medical Equipment
- Decontamination of Medical Devices
- Environmental Management
- Fire Safety
- Health and Safety
- Infection Control
- Information, Communication and Technology
- Waste Management.

This guidance sets out, in the following tables, the rates of progress the Department expects the HPSS to make towards compliance with the 14 controls assurance standards during 2004/05. 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 –

Elaine Lawson (Elaine.Lawson@dhsspsni.gov.uk) Tel: 028 905 23112.

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:	Progress expected in 2003/04	Progress expected in 2004/05
1. Buildings, land, plant and non-medical equipment	All HPSS bodies		Moderate
2. Decontamination of medical devices	HSS Boards, HSS Trusts and NI Blood Transfusion Service Agency.		Substantive
3. Environmental Management	All HPSS bodies		Moderate
4. Financial Management (core standard)	All HPSS bodies	Substantive (Expected by 31.03.04)	Substantive
5. Fire safety	All HPSS bodies		Substantive
6. Governance (core standard)	All HPSS bodies	Substantive (Expected by 31.03.04)	Substantive
7. Health and Safety	All HPSS bodies		Moderate

Standard	Applicable to:	Progress expected in 2003/04	Progress expected in 2004/05
8. Human Resources	All HPSS bodies	Moderate	Moderate
9. Infection Control	HSS Trusts		Substantive
10. Information Communication Technology	All HPSS bodies		Moderate
11. Medical Devices & Equipment Management	<p>All HSS Trusts and NI Blood Transfusion Service Agency.</p> <p>Partially applicable to HSS Boards, Central Services Agency, NI Regional Medical Physics Agency and Health Promotion Agency</p>	Moderate	Moderate
12. Medicines Management	All HPSS bodies, except the NI Guardian ad Litem Agency and the NI Medical and Dental Training Agency	Moderate	Moderate

Standard	Applicable to:	Progress expected in 2003/04	Progress expected in 2004/05
13. Risk Management (core standard)	All HPSS bodies	Substantive (Expected by 31.03.04)	Substantive
14. Waste Management	All HPSS bodies		Moderate