

## **Guidance on Applicability and Expected Levels of Compliance with Controls Assurance Standards 2006/07**

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 2006/07, twenty-one 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 eighteen 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
- 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 21 controls assurance standards during 2006/07. 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](mailto:Robert.Haworth@dhsspsni.gov.uk)) Tel: 028 905 28286

## Indicator Table of Levels of Compliance

Level & Scoring	Descriptor
<b>Negligible</b> <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> <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> <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> <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> <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 – Reference Table on Applicability and Expected Levels of Compliance**

<b>Standard</b>	<b>Applicable to:</b>	<b>Year 1 2003/04</b>	<b>Year 2 2004/05</b>	<b>Year 3 2005/06</b>	<b>Progress expected in 2006/07</b>
1. Buildings, land, plant and non-medical equipment	All HPSS bodies		<b>Moderate</b>	<b>Moderate</b>	<b>Moderate</b>
2. Decontamination of medical devices	HSS Boards, HSS Trusts.		<b>Substantive</b>	<b>Substantive</b>	<b>Substantive</b>
3. Emergency Planning	HSS Boards, HSS Trusts and NI Blood Transfusion Service Agency, CSA, Regional Medical Physics Agency			<b>Moderate</b>	<b>Moderate</b>
4. Environmental Cleanliness	HSS Trusts			<b>Substantive</b>	<b>Substantive</b>

<b>Standard</b>	<b>Applicable to:</b>	<b>Year 1 2003/04</b>	<b>Year 2 2004/05</b>	<b>Year 3 2005/06</b>	<b>Progress expected in 2006/07</b>
5. Environmental Management	All HPSS bodies		<b>Moderate</b>	<b>Moderate</b>	<b>Moderate</b>
6. Financial Management (core standard)	All HPSS bodies	<b>Substantive</b>	<b>Substantive</b>	<b>Substantive</b>	<b>Substantive</b>
7. Fire safety	All HPSS bodies		<b>Substantive</b>	<b>Substantive</b>	<b>Substantive</b>
8. Fleet and Transport Management	All HPSS bodies			<b>Moderate</b>	<b>Moderate</b>
9. Food Hygiene	All HPSS bodies Except NIBTS				<b>Substantive</b>
10. Governance (core standard)	All HPSS bodies	<b>Substantive</b>	<b>Substantive</b>	<b>Substantive</b>	<b>Substantive</b>
11. Health and Safety	All HPSS bodies		<b>Moderate</b>	<b>Moderate</b>	<b>Substantive</b>
12. Human Resources	All HPSS bodies	<b>Moderate</b>	<b>Moderate</b>	<b>Moderate</b>	<b>Substantive</b>
13. Infection Control	HSS Trusts		<b>Substantive</b>	<b>Substantive</b>	<b>Substantive</b>

<b>Standard</b>	<b>Applicable to:</b>	<b>Year 1 2003/04</b>	<b>Year 2 2004/05</b>	<b>Year 3 2005/06</b>	<b>Progress expected in 2006/07</b>
14. Information Communication Technology	All HPSS bodies		<b>Moderate</b>	<b>Moderate</b>	<b>Moderate</b>
15. Management of Purchasing and Supply	All HPSS bodies			<b>Moderate</b>	<b>Moderate</b>
16. Medical Devices & Equipment Management	All HSS Trusts and NI Blood Transfusion Service Agency.  Partially applicable to HSS Boards, Central Services Agency, NI Regional Medical Physics Agency and Health Promotion Agency	<b>Moderate</b>	<b>Moderate</b>	<b>Moderate</b>	<b>Substantive</b>

<b>Standard</b>	<b>Applicable to:</b>	<b>Year 1 2003/04</b>	<b>Year 2 2004/05</b>	<b>Year 3 2005/06</b>	<b>Progress expected in 2006/07</b>
17. Medicines Management	All HPSS bodies, except the NI Guardian ad Litem Agency and the NI Medical and Dental Training Agency	<b>Moderate</b>	<b>Moderate</b>	<b>Moderate</b>	<b>Moderate</b>
18. Records Management	All HPSS bodies			<b>Moderate</b>	<b>Moderate</b>
19. Risk Management (core standard)	All HPSS bodies	<b>Substantive</b>	<b>Substantive</b>	<b>Substantive</b>	<b>Substantive</b>
20. Security Management	All HPSS bodies				<b>Moderate</b>
21. Waste Management	All HPSS bodies		<b>Moderate</b>	<b>Substantive</b>	<b>Substantive</b>