



|                        |            |
|------------------------|------------|
| Paper No. SET/25/18    |            |
|                        | Tick One ✓ |
| For action             |            |
| For discussion         | ✓          |
| For information/noting |            |

**Date of Trust Board Meeting:** 30 May 2018

**Confidential or Public Agenda:** Public

**Agenda item number and title:** 7.5 Report on the Controls Assurance Programme – 2017/18 and update on alternative arrangements for 2018/19

### 1.0 Introduction

This paper provides a summary overview report of the results of the Controls Assurance Programme for 2017/18 and an update on replacement plans for alternative arrangements for 2018/19.

### 2.0 Background information

There are 22 extant controls assurance standards. For 2017/18, 22 out of 22 standards were required to achieve substantive compliance. **For this period, the Trust achieved the required level of compliance for 21/22 standards; Medical Devices achieved moderate compliance.** The DOH mandated 4 standards required independent verification during 2016/17 and these are highlighted below:-

- Financial Management (core standard);
- Governance (core standard);
- Risk Management (core standard); and
- Fire Safety.

The remaining **18 standards achieved substantive compliance** but were not independently verified by Internal Audit. Medical Devices achieved moderate compliance.

### 3.0 Controls Assurance Programme – 2017/18

#### 3.1 Results of the Controls Assurance Programme – 2017/18

During 2017/18, 5 standards = increased scores; 4 = decrease in scores; 13 = scores remained static. The reason for the decrease in the scores for 4 standards is as follows:-

- **Decontamination of Equipment – 88% (was previously 92%)** – A new senior manager was appointed following the retirement of the previous manager and completed the baseline assessment from her perspective.

- **Fire Safety – 76% (was previously 85%)** – the scores for this standard were reviewed and amended by the Trust following an Internal Audit on Fire Safety.
- **Management of Purchasing and Supply - 82% (was previously 85%)** – a new senior manager, PALs undertook the baseline assessment following resignation of the previous manager who left to take up a post outside the Trust's area.
- **Risk Management - 93% (was previously 94%)** – the score in this standard was reviewed and amended to take account of issues listed in the Fire Safety report.

In accordance with DOH guidance, the scores for 2017/18 Controls Assurance Standards were submitted by the required deadline of Tuesday 8 May 2018.

| Controls Assurance Standard                     | 2017/18 scores | 2016/2017 scores | + Increase<br>- Decrease<br>* Static |
|---|----------------|------------------|--------------------------------------|
| Building, Land, Plant and Non-Medical Equipment | 84%            | 84%              | *Static                              |
| Decontamination of Equipment                    | 88%            | 92%              | -Decrease                            |
| Emergency Planning                              | 86%            | 86%              | *Static                              |
| Environmental Cleanliness                       | 91%            | 91%              | *Static                              |
| Environmental Management                        | 88%            | 84%              | +Increase                            |
| Financial Management                            | 90%            | 90%              | *Static                              |
| Fire Safety                                     | 76%            | 85%              | -Decrease                            |
| Fleet & Transport Management                    | 91%            | 90%              | +Increase                            |
| Food Hygiene                                    | 90%            | 90%              | *Static                              |
| Governance                                      | 97%            | 97%              | *Static                              |
| Health & Safety                                 | 86%            | 86%              | *Static                              |
| Human Resources                                 | 84%            | 84%              | *Static                              |
| Infection Control                               | 93%            | 93%              | *Static                              |
| Information, Communication & Technology         | 91%            | 88%              | +Increase                            |
| Information Management                          | 82%            | 81%              | +Increase                            |
| Management of Purchasing and Supply             | 82%            | 85%              | -Decrease                            |
| Medical Devices & Equipment Management          | 64%            | 64%              | *Static                              |
| Medicines Management                            | 83%            | 83%              | *Static                              |
| Research Governance                             | 94%            | 92%              | +Increase                            |
| Risk Management                                 | 93%            | 94%              | -Decrease                            |
| Security Management                             | 86%            | 86%              | *Static                              |
| Waste Management                                | 86%            | 86%              | *Static                              |

### 3.2 Future of Controls Assurance Programme

In August 2017, the Permanent Secretary/Chief Executive HSC wrote to all HSC Trusts setting out the rationale for ceasing the Controls Assurance Standards with effect from 1 April 2018 with a view to providing more comprehensive assurance to the Department.

Departmental Policy Leads have been engaging with their counterparts in the ALBs to ensure that suitable and proportionate assurance arrangements are in place for each of the standards wef April 2018. Where a slight delay is anticipated, appropriate contingency arrangements have been put in place. In future, proportionate assurance will be provided by ALBs to relevant policy leads in the Department. Where applicable, assurance will be provided in mid-year

assurance/governance statements. The formal accountability process remains the vehicle for highlighting any exception reports. This approach does not preclude the Chief Executive, as Accounting Officer, putting in place whatever arrangements he deems necessary within the organisation to provide assurance.

#### **4.0 Recommendation/s for the Trust Board**

Trust Board is asked to note, for information, the scores submitted to the Department in respect of the Controls Assurance Programme for 2017/18 by the due date of 8 May 2018 together with the alternative assurance arrangements for organisational control areas previously covered by the Controls Assurance Programme.

**Lead Director:** Mrs M Weir

**Designation:** Director of Human Resources & Corporate Affairs

**Date:** 21 May 2018