

Paper No. SET/07/19	
	Tick One ✓
For discussion	
For approval	
For information/noting	✓

Date of Trust Board Meeting: 11 February 2019

Confidential or Public Agenda: Public

Agenda item: Item 7.6 – Paper on the replacement model for the former Controls Assurance Standards

1.0 Introduction

This paper details the new arrangements for the replacement model for the former Controls Assurance Standards for use within the South Eastern HSC Trust (the Trust). The paper was presented to, and approved by, the Organisational Controls Assurance Group at its meeting on 10 January 2019. It was subsequently endorsed by the Corporate Control Committee at its meeting on 16 January 2019.

2.0 Background information

On 30 March 2018, the Permanent Secretary and HSC Chief Executive, Mr Pengelly, wrote to HSC Trusts in respect of the review of Controls Assurance Standards. He reminded Trusts that he had written to all organisations in August 2017 setting out the rationale for ceasing Controls Assurance Standards wef 1 April 2018 with a view to providing a more comprehensive and proportionate assurance to the Department. In the interim period, Departmental Policy Leads have been engaging with their counterparts in the Arm's Length Bodies (ALB's) to ensure that suitable and proportionate assurance arrangements are in place for each of the standards from 1 April 2018.

Governance Leads in the ALBs were also kept informed throughout this process. With effect from April 2018, ALBs are required to provide proportionate assurance 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 issues. This approach does not preclude the Chief Executive as Accounting Officer, putting in place whatever arrangements he/she deems necessary in their organisation to provide them with assurance.

3.0 Brief summary of key points contained in the paper/s

3.1 *Transition arrangements and alternative model for the Organisational Controls Standards issued by DoH on 30 March 2018*

The former Controls Assurance Project Team met on 6 September 2018. At that meeting there was unanimous agreement to keep the project operational and the

main focus on the day was to discuss the paper issued by the DoH (Update Report on the Review of the Controls Assurance Standards as at March 2018). This detailed the new arrangements from a DoH perspective with regard to the former 22 standards wef 1 April 2018.

The outcome of this discussion is detailed in Appendix 1 of the attached paper which details the former standards together with the proposed new arrangements. The list is updated as and when changes are identified.

A lengthy discussion also took place at this meeting in relation to the DoH communication. Again there was unanimous agreement to keep the Project Team operational. The team agreed to change their name from the Controls Assurance Project Team to the Organisational Controls Assurance Group (OCAG). It also agreed to use the principles/processes formerly used by the Controls Assurance Project Team as they were considered robust. A summary of these are contained in the attached paper (section - Arrangements for the management of the Organisational Controls Assurance standards wef September 2018).

In conclusion, the Trust has continued to use the robust arrangements from the former Controls Assurance Programme and adapted these for use in its OCAG Programme. The main change is in the provision of a documented Assurance Statement which will certainly provide more robust assurances by Directors to inform the Chief Executive's signing of the Governance Statement.

The Project Team recognise that year one is a transitional year and intend to keep the model under regular review and will update as and when required. The first feedback is likely to be from Internal Audit post January 2019 (as part of the 2018/19 Internal Audit programme).

4.0 Recommendation/s for the Trust Board (please state if the paper/s is for information/noting or for approval by Board members)

The Trust Board is asked to note, for information, the replacement model for the former Controls Assurance Standards for use within the South Eastern HSC Trust.

Lead Director: Mrs Myra Weir

Designation: Director of Human Resources & Corporate Affairs

Date: 4 February 2019