



Paper No. SET/25/17	
	Tick One ✓
For action	
For discussion	
For information/noting	✓

**Date of Trust Board Meeting:** 31 May 2017

**Confidential or Public Agenda:** Public

**Agenda item number and title:** 7.5 Report on the Controls Assurance Programme – 2016/17 and plans for 2017/18

### 1.0 Introduction

This paper provides a summary overview report of the results of the Controls Assurance Programme for 2016/17 and the plans for the 2017/18 programme.

### 2.0 Background information

There are 22 extant controls assurance standards. For 2016/17, 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 5 standards required independent verification during 2016/17 and these are highlighted below:-

- Financial Management (core standard);
- Governance (core standard);
- Risk Management (core standard);
- Emergency Planning; and
- Human Resources.

The remaining **16 standards achieved substantive compliance** but were not independently verified by Internal Audit. Medical Devices achieved moderate compliance.

### 3.0 Controls Assurance Programme – 2016/17

#### 3.1 Results of the Controls Assurance Programme – 2016/17

During 2016/17, 9 standards = increased scores; 6 = decrease in scores; 7 = scores remained static. The reason for the decrease in the scores for 6 standards is as follows:-

- Emergency Planning (89% to 86%) – this standard was subject to independent verification by Internal Audit and benchmarked with all HSC Trusts. Normally, the scores would be reduced;
- Fire Safety (86% to 85%) – this standard was not subject to independent verification and score dropped marginally by 1%.

- Human Resources (88% to 84%) – this standard was subject to independent verification by Internal Audit and benchmarked with all HSC Trusts. Normally, the scores would be reduced. The standard had been redrafted and rewritten in the previous year. This was the first time it had been subject to independent verification and benchmarked with all HSC Trusts. Normally, the scores would be reduced;
- Medical Devices & Equipment Management (75% to 64%) – this standard was not subject to independent verification and performance in this area was affected by problems in recruiting a Medical Devices Co-ordinator. An action plan is in place to address the areas of non-compliance.
- Medicines Management (84% to 83%) – this standard was not subject to independent verification and score dropped marginally by 1%.
- Risk Management (95% to 94%) – this standard was not subject to independent verification and score dropped marginally by 1%. This was due to a limited assurance report in respect of the Management of Acute Falls.

In accordance with DOH guidance, the scores for 2016/17 Controls Assurance Standards were submitted by the required deadline of Tuesday 8 May 2017.

<b>Controls Assurance Standard</b>	<b>2016/2017 scores</b>	<b>2015/2016 scores</b>	<b>+ Increase - Decrease * Static</b>
Building, Land, Plant and Non-Medical Equipment	84%	82%	Increase
Decontamination of Equipment	92%	92%	Static
Emergency Planning	86%	89%	Decrease
Environmental Cleanliness	91%	90%	Increase
Environmental Management	84%	83%	Increase
Financial Management	90%	89%	Increase
Fire Safety	85%	86%	Decrease
Fleet & Transport Management	90%	90%	Static
Food Hygiene	90%	90%	Static
Governance	97%	97%	Static
Health & Safety	86%	86%	Static
Human Resources	84%	88%	Decrease
Infection Control	93%	93%	Static
Information, Communication & Technology	88%	86%	Increase
Information Management	81%	78%	Increase
Management of Purchasing and Supply	85%	80%	Increase
Medical Devices & Equipment Management	64%	75%	Decrease
Medicines Management	83%	84%	Decrease
Research Governance	92%	91%	Increase
Risk Management	94%	95%	Decrease
Security Management	86%	86%	Static
Waste Management	86%	83%	Increase

### **3.2 Controls Assurance Programme for 2017/18**

The Controls Assurance Programme for 2017/18 has already commenced including the arrangements for Internal Audit input to standards. This will include the standards as indicated by the Department of Health (the Department) requiring

independent verification (information still awaited at time of writing report). All 22 standards have action plans in place for 2017/18 to address any areas of non-compliance or any actions required to maintain and/or improve the substantive compliance scores. The Controls Assurance Project Team chaired by Mrs Weir, Director of Human Resources & Corporate, will continue to meet regularly during 2017/18. Regular progress reports will continue to be made to the Executive Management Team, Corporate Control Committee and the Governance Assurance Committee.

The DOH is currently reviewing a number of the Controls Assurance and has consulted with HSC Trusts about considering standing down a number of standards (for eg, Governance and Risk Management). The Trust has provided their views on this matter to the DOH, as has other Trusts. No final decision has been made.

#### **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 2016/17 by the due date of Monday 8 May 2017.

**Lead Director:** Mrs M Weir

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

**Date:** 22 May 2017