

APPENDIX 5

CONTROLS ASSURANCE COMPLIANCE 2012-2013		
Standard	Compliance % 2011/2012	Compliance % 2012/2013
Buildings, Land, Plant and Non-medical Equipment	77	81
Decontamination of Medical Devices	76	78
Emergency Planning	87	87
Environmental Cleanliness	85	84
Environmental Management	82	82
Financial Management	94	84
Fire Safety	80	88
Fleet and Transport Management	84	84
Food Hygiene	87	89
Governance	95	95
Health and Safety	83	84
Human Resources	98	98
Infection Control	94	95
Information, Communication and Technology	82	84
Management of Purchasing and Supply	83	85
Medical Devices and Equipment Management	80	80
Medicines Management	75	76
Records Management	80	93
Research Governance	87	89
Risk Management	85	85
Security	82	85
Waste Management	86	87 TBC

NB –Remains in draft pending completion of final verification processes

All 22 standards retained substantive compliance for 2012/13 by achieving overall scores of 75% or above.

Internal Audit verified the self assessment process for 7 standards as follows:-

- Risk Management
- Governance
- Financial management
- Management of Purchasing and Supply
- Decontamination of Medical Devices
- Health and Safety
- Waste Management

Although Internal Audit verified each of these standards as maintaining substantive compliance, the financial management standard was reduced from 2011/2012, with two criterion achieving moderate rather substantive compliance. This reduction in compliance is reflective of issues experienced on implementation of the Finance Procurement and Logistics system. In addition the Waste management standard was also reduced slightly. The Trust is still in discussion with Internal Audit regarding this finding.

Self assessment processes for 13 of the 22 standards demonstrated an improved compliance level with a further 7 standards maintaining the same level of compliance as the previous year.

In addition to a reduction of the Financial Management and potentially the Waste Management standards, the Environmental Cleanliness standard has also been self assessed as slightly reduced from the previous year's return. This reduction has been attributed to external factors.

A total of 7 standards have identified a small number of individual criterion as reaching moderate rather than substantive compliance. Action plans have been developed and agreed with the Director responsible for each standard and will be implemented during 2013/2014 to support continued improvement.