

# HSE Controls Assurance Review Process 2022

## 3. Contact Details

Contact Details	
<b>Name:</b>	Seamus McCaul
<b>Phone Number:</b>	0419893203
<b>Job Title:</b> ⓘ	Director of Nursing
<b>Staff Personnel Number:</b>	40600717
<b>Cost Centre</b> ⓘ	EL421

Contact Details (email addresses)	
<b>Your HSE Email Address:</b>	seamus.mccaul@hse.ie
<b>Line Managers Email Address:</b>	maura.ward@hse.ie
<b>Additional Line Managers Email Address:</b>	donal.fitzsimons@hse.ie

Service Division:
Community Health Organisation

Role Type:
Clinical

2. Please select from one of the following options. Only one option can be chosen
CHO 8 – Laois/Offaly, Longford/ Westmeath, Louth/Meath

Please type in your exact location.
If you are assigned to Corporate/National, an Older Persons or Disability Care Centre or a Mental Health Hospital please state name e.g. Dr Steevens' Hospital, St Brendan's CNU Loughrea, St Loman's Hospital Mullingar etc. Otherwise please include the name of the town at which you are based
St Mary's Hospital, Dublin Road, Drogheda

## 4. Introductory Questions

### 1. Income / Cash

Income/Cash refers to any income in the form of cash, cheques, credit/debit cards, electronic payments.

Does your role involve the supervision or direct handling of Income/Cash? Or do you line manage staff who are involved in supervision or direct handling of Income/Cash?

Yes

### 2. Patient Private Property

Do your duties or your team's duties require you/them to manage or administer any element of the HSE's Patient Private Property Process? (Note: duties should include processing or approving PPP forms, lodgements and withdrawals to/from PPP accounts, bank and PPP account reconciliations etc.)

Yes

### 3. Grants to Outside Agencies

Do your duties or your team's duties require you/them to manage or administer any element of the HSE's relationship with outside agencies i.e. Section 38 or Section 39 funded agencies, either voluntary or commercial who are funded to provide personal health and social services.

This includes organisations such as Acute Hospitals, Disability, Mental Health, Older Persons, Primary Care, Palliative Care, Social Inclusion and Health and Wellbeing Service Providers and smaller groups involved in community and health promotion initiatives. Also includes Lottery funding.

Yes

### 4. Financial/Payroll Related Activities

Do your or your team's duties involve any element of financial or payroll related activities? Examples of such activities include: Preparing reconciliations Preparing/posting journals Handling payroll data Review of account balances e.g. GRNI Review and reconciliation of supplier statements Review of debit balances on creditor listings Cheque approvals/electronic transfers

Yes

### 5. Line Manager

Are you a Line Manager?

If you line manage one or more members of staff please answer Yes to this.

Yes

## 6. Budget Holder

Are you a Budget Holder? A Budget Holder is someone who is accountable for spending decisions within his/her area of responsibility. It includes someone who has the ability to approve incurring expenditure and hiring of staff.

Yes

## 5. ICQ Statements Part 1: Key Policies, Procedures and Requirements

1. a) I am aware of the key requirements of the relevant National Financial Regulations (NFRs) which apply to my day to day duties. ⓘ

Yes

1. b) I know where to source the NFR's for reference when required.

Yes

1. c) I know where to access support for any further clarifications (govn.compliance@hse.ie).

Yes

2. a) There are clearly documented local procedures in place which cover all key control areas including segregation of duties, appropriate review and approval & oversight of activities.

Yes

## Key Policies, Procedures and Requirements - LINE MANAGER

2. b) I ensure there are clearly documented and up to date local procedures in place which enable my staff to complete their jobs in line with NFRs

Yes

3. There is an organisational chart in place for my team, which sets out all roles and reporting relationships, including their accountability arrangements. ⓘ

Yes

4. My staff and/or I are aware of information available to staff that supports them in instances where they wish to raise a concern (e.g. Protected Disclosures and through the HSE's Confidential Recipient). ⓘ

Yes

5. I am aware of and understand the key requirements included in the HSE Code of Governance 2021 in particular those relevant to my role in the HSE. ⓘ

Yes

6. My staff and/or I have undertaken a risk management process in my area of responsibility which is in line with the HSE's Integrated Risk Management Policy. ⓘ

Yes

7. My staff and/or I have reviewed the Risk Register relevant to my area of responsibility, as part of my management process. ⓘ

Yes

8. a) I am aware of the requirements of the HSE Policy Statement on Fraud & Corruption. ⓘ

Yes

8. b) Any instances of potential fraud or corruption in 2022 have been managed and reported as per the requirements of the HSE Policy on Fraud and Corruption.

(Please answer "Not Relevant" if no such instances occurred in 2022) ⓘ

Yes

9. My team and/or I are aware of our responsibilities if we believe that there may have been a theft or other case of misappropriation of HSE funds (as outlined in NFR-13). ⓘ

Yes

10. I am aware of the Quality and Safety Key Performance Indicators (KPIs) contained in the National Service Plan as they relate to my area. ⓘ

Yes

11. My staff and/or I have a system in place for receiving and reviewing feedback from patients and/or service users to ensure continuous improvement of services (HSE Policy, "Your Service Your Say"). ⓘ

Yes

12. My staff and/or I have prioritised all recommendations from all external and internal audits and inspections (clinical, financial and operational), for my/our relevant area and have plans in place to address all recommendations resulting from these audits as they relate to my area of control. ⓘ

Yes

13. a) I am aware of the requirements of the HSE's Incident Management Framework (IMF), its principles and my role and responsibilities in relation to same. ⓘ

Yes

13. b) My staff and/I have reported all safety incidents for my area, including any Serious Reportable Events (SREs), on the National Incident Management System, which have occurred during 2022 as required by the HSE's Incident Management Framework.

(Please answer 'Not Relevant' if no such incidents occurred in the past year). ⓘ

Yes

13. c) My staff and/or I have a process in place for implementing recommendations and learnings from safety incidents that may occur both in and outside of my own area of responsibility where the learning relates to my area of work. ⓘ

Yes

14. I have completed the mandatory Open Disclosure Training and ensure that open disclosure is included in the procedures for managing incidents in my area of responsibility. ⓘ

Yes

15. I confirm that I have read the HSE Data Protection Policy, as well as the related Subject Access Request Procedures, Data Breach Reporting Procedures AND I have completed the 'Fundamentals of GDPR' training on HSeLanD and I understand what is required of me as an a HSE employee to ensure compliance with GDPR and related policies and legislation. ⓘ

Yes

16. ONLY TO BE ANSWERED BY STAFF INVOLVED IN THE INTERNATIONAL TRANSFER OF PERSONAL DATA

(Note: Please answer "Not Relevant" if you are not involved).

Where my duties include the international transfer of personal data to third countries (countries outside the EU/EA where there is no adequacy agreement), I am aware of the implications of the Schrems II decision of the Court of Justice of the EU. Where required, I will seek appropriate advice from the Data Protection Office / eHealth & Disruptive Technologies / Regional Deputy Data Protection Officers (DDPO's) prior to transferring such data where there is processing of personal data. ⓘ

Not Relevant

17. a) My staff and/or I are aware and understand our responsibilities in relation to the Children First Act 2015 and Children First National Guidance for the Protection and Welfare of Children 2017. ⓘ

Yes

17. b) My staff and/or I have received a copy of the HSE Child Protection and Welfare Policy, and signed Appendix 3 confirming awareness and understanding of the policy in relation to our roles and responsibilities. ⓘ

Yes

17. c) I have completed or I am aware that a Children First Implementation and Compliance Self-Audit Checklist has been completed for my service. (This is applicable to all services - "relevant services and non-relevant services," patient facing and corporate). ⓘ

Yes

## 5. ICQ Statements PART 2: FINANCIAL MONITORING & FINANCIAL REPORTING - Budget Holder

1. As a Budget Holder, I am aware of my responsibilities to comply with all appropriate procurement and hiring processes. ⓘ

Yes

2. As a Budget Holder, I act responsibly and pro-actively in managing my budget. This includes monitoring the spend to ensure all expenditure is appropriate and reporting key issues in a timely fashion. ⓘ

Yes

## 5. ICQ Statements PART 2: FINANCIAL MONITORING & FINANCIAL REPORTING

3. I am aware of the National Service Plan for 2022 and its relevance for me and/or my staff. ⓘ

Yes

4. All controllable actions are taken by my team and I to ensure that financial data produced by my team is both accurate and provided on time to the relevant recipient.

(Note: Financial Information includes purchasing, payroll, travel claims etc). ⓘ

Yes

5. I retain financial records in accordance with NFR 08 Retention of Financial Records (e.g. invoices, travel claim forms, timesheets and leave entitlement records etc.). ⓘ

Yes

6. I am aware of and understand my responsibilities to safeguard HSE stock (within my location/area) and the requirement for Inventory Control (as per NFR 19). ⓘ

Yes

## 5. ICQ Statements PART 2: FINANCIAL MONITORING & FINANCIAL REPORTING - Budget Holder

7. Stock takes are performed by my staff and/or me in accordance with NFR-19 Inventory Control and there are processes in place to ensure stocks are monitored in terms of their obsolescence and possible write-off.

Note: 'Not Relevant' response means you (as a Budget Holder) have no responsibility for stock takes (even an office stock take) in your area. ⓘ

Yes

## 5. ICQ Statements PART 2: FINANCIAL MONITORING & FINANCIAL REPORTING

8. All month-end processing dates are known and adhered to by my staff and/or me. ⓘ

Yes

9. I / my team prepare reconciliations for approval on a monthly basis for all key control accounts in my area of responsibility (e.g. Purchases, bank & cash, income, payroll, fixed assets, etc.).

(Note:  
'No' response applies where such reconciliations are not performed and approved on a monthly basis  
'Not Relevant' response applies where you or your staff are not tasked with performing reconciliations). ⓘ

Yes

10. Where I / my staff prepare reconciliations all reconciling differences are investigated and where possible, cleared before the following month-end.

(Note: 'Not Relevant' response applies where you or your staff are not tasked with performing reconciliations). ⓘ

Yes

11. All journal vouchers are presented to the relevant approver with full supporting documentation to allow for appropriate review and approval of the journal.

(Note:

'No' response applies where the appropriate journal vouchers and relevant supporting documentation are not presented and reviewed

'Not Relevant' response applies where you or your staff activities do not include journal vouchers). ⓘ

Not relevant

12. Accounting information and files (e.g. accruals, payroll data etc.) are subjected to periodic reviews by supervisory management.

(Note: Accounting information and files includes purchasing, payroll, travel claims etc).

Yes

13. Adequate segregation of duties exist in my area of responsibility to ensure appropriate oversight of overall activities as per the HSE Controls Framework.

(Note: 'Work in Progress' response is where you / your team is currently implementing improvements which will ensure there are adequate Segregation of Duties in your area of responsibility).

Yes

## 5. ICQ Statements PART 3: PAYROLL

1. I am aware of and understand the key requirements in relation to Payroll and Payroll Overpayments as outlined in NFR 03 and NFR 04.

Yes

2. I ensure that all relevant HR forms are :

> completed where necessary

> completed within the required time limits,

> authorised appropriately and

> HR and Payroll are notified of all changes that impact on pay in a timely manner ⓘ

Yes

## 5. ICQ Statements PART 3: PAYROLL Line Manager

3. I ensure that all records of time and attendance of employees under my supervision is appraised, approved and submitted (weekly) as required in line with pay schedules (e.g. flexi leave, annual leave). ⓘ

Yes



4. a) I have a record of the Headcount and basic salary numbers of staff in my area of responsibility which is periodically checked to Payroll records.

[Note: This statement is asking you to confirm that you/and or another relevant responsible person (e.g. Payroll/Business Manager) performs these checks for your area]. ⓘ

Yes

4. b) Analytical reviews are performed to check for significant fluctuations between periods at a cost centre and employee level and any such fluctuations are investigated.

[Note: This statement is asking you to confirm that you/and or another relevant responsible person (e.g. Payroll/Business Manager) performs this review for your area]. ⓘ

Yes

## 5. ICQ Statements PART 4 : TRAVEL and SUBSISTENCE/OTHER STAFF COSTS

1. I am aware of and understand the key requirements for Travel and Subsistence as outlined in NFR 05, in particular those requirements that are relevant to my role in the HSE. ⓘ

Yes

2. I am aware of my responsibility to obtain written authorisation to travel if required for business purposes, ensuring it is signed by a suitably delegated officer AND I review my documentation annually and update where necessary (see info. bubble for further detail on documentation requirements). ⓘ

Yes

3. In 2022, when claiming travel and/or subsistence, my team and/or I submitted claims within 3 months (see info. bubble for further detail).

(Note: 'Not Relevant' response applies to staff who do not travel or did not have any travel claims in 2022). ⓘ

Yes

4. I am aware of my responsibility to ensure all requests for foreign air travel, foreign hotel accommodation and internal domestic flights MUST be routed through the designated HSE travel company and copied to the Business Travel Unit (BTU) at [travel@hse.ie](mailto:travel@hse.ie). ⓘ

Yes

## 5. ICQ Statements PART 4 : TRAVEL & SUBSISTENCE/OTHER STAFF COSTS Line Manager

5. Prior to authorisation to pay travel expenses to any employee in respect of the use of their own motor vehicle, I ensure that:

- > approval to Travel/Employee Declaration Form completed in full and appropriately authorised
- > there is a copy of their current Vehicle Registration Certificate,
- > there is a certified copy of their current insurance policy AND the insurance policy specifically indemnifies the HSE against any claims from the employee (HSE or agency) or their insurer for any loss or damage incurred during the use of the vehicle on official business.

(Note: a 'Not Relevant' response means you or your staff did not make any travel claims in 2022). ⓘ

Yes

a) All journeys on each claim were necessary for the performance of the applicant's duties.

(Note: 'Not Relevant' response applies to staff who do not travel or did not have any travel claims in 2022). ⓘ

Yes

b) All required details are entered and correct including the amounts claimed, the start and end time of the journey, the claimant's base.

(Note: 'Not Relevant' response applies to staff who do not travel or did not have any travel claims in 2022). ⓘ

Yes

c) All supporting documentation is in line with requirements.

(Note: 'Not Relevant' response applies to staff who do not travel or did not have any travel claims in 2022). ⓘ

Yes

d) That travelling expenses were not paid in respect of any portion of a journey which covered all or part of the applicant's usual route between home and base (see exception to this rule in info. bubble).

(Note: 'Not Relevant' response applies to staff who do not travel or did not have any travel claims in 2022). ⓘ

Yes

## 5. ICQ Statements PART 4 : TRAVEL & SUBSISTENCE/OTHER STAFF COSTS

7. If you agree with the below statement, please select "YES" as your response:

My team and/or I have NOT claimed hospitality or entertainment expenses during 2022.

**IMPORTANT!!**

A 'Yes' response indicates that hospitality or entertainment expenses were NOT claimed.

A 'No' response indicates that hospitality or entertainment expenses WERE claimed. ⓘ

Yes

## 5. ICQ Statements PART 4 : TRAVEL and SUBSISTENCE/OTHER STAFF COSTS - Line Manager

8. All reimbursements to my staff of other staff costs (classified in NFR15) are approved and processed appropriately in accordance with NFR-15 requirements.

(Note: 'Not Relevant' response applies where your staff did not have any claims for other staff costs (NFR 15) in 2022). ⓘ

Not Relevant

## 5. ICQ Statements PART 5: PROCUREMENT

1. I am aware that any purchases I make on behalf of the HSE should be in accordance with the requirements of NFR 01 Purchase to Pay. ⓘ

Yes

2. I am aware of the key requirements regarding Procurement set out in the Code of Practice for the Governance of State Bodies (2016). ⓘ

Yes

Did you make a purchase in 2022?

Yes

3. For any purchase I ensure that the purchase is necessary and appropriate approval is sought prior to incurring the expenditure. ⓘ

Yes

4. When making a purchase I ensure that goods and services are sourced from stock or through an existing HSE Contract, where possible. ⓘ

Yes

5. If I cannot source goods or services from stock or by calling off an existing contract, then they are sourced from a supplier(s) directly through a competitive process seeking the direction of HSE Procurement as required. ⓘ

Yes

6. Where a contract is being put in place, I ensure that key terms & conditions of the awarded contract are consistent with HSE Standard Terms for Services & Supplies. ⓘ

Yes

7. Each purchase is properly approved by the appropriate person in accordance with the requirements of NFR 01. ⓘ

Yes

8. Prior to making payment, it is confirmed that  
> the expenditure was approved via the issue of a purchase order or contract;  
> satisfactory receipt was achieved, AND;  
> the payment request (usually an invoice) agrees with same (or within agreed variances), particularly in terms of price. ⓘ

Yes

9. I am aware that all HSE Contract information is accessible on [www.HBSPASS.ie](http://www.HBSPASS.ie) and HSE Procurement should be contacted for assistance if required. ⓘ

Yes

## 5. ICQ Statements PART 5: PROCUREMENT Line Manager

10. I ensure all staff on my team that I have authorised to raise Purchase Orders are registered users of this [www.HBSPASS.ie](http://www.HBSPASS.ie) site.

(Note: 'Not Relevant' response applies only where no staff on your team raise Purchase Orders or where manual purchase orders are raised) ⓘ

Yes

## 5. ICQ Statements PART 5: PROCUREMENT

Competitive process

My staff and/or I have been involved in purchases that exceed €25k (both competitive and/or non-competitive) in 2022 or manage ongoing contracts that exceed €25k

Yes

## 5. ICQ Statements PART 5: PROCUREMENT - Competitive Process

11. I obtain professional advice and guidance from Procurement in advance of making any purchase that exceeds €25,000.

(Note “Not Relevant” response applies if you were only involved in ongoing contracts during 2022. ⓘ)

Yes

12. a) I have notified Procurement on all tenders above the EU threshold.

(Please see guidance for further information on the relevant thresholds.

Note: “Not Relevant” response applies if there were no such tenders in the past year) ⓘ)

Yes

b) I have notified the estates office on all tenders above the EU Threshold relating to Capital Projects.

(Please see guidance for further information on the relevant thresholds.)

(Note: “Not Relevant” response applies if there were no such tenders in the past year) ⓘ)

Yes

13 a) The competitive tender process is used in all cases where the value of the contract exceeds €25,000 as per NFR-01.

Yes

b) Controls are in place to ensure appropriate approval of tenders, evaluations and contract documentation are completed. ⓘ)

Yes

c) Controls are in place to ensure bids are handled in an appropriate manner (i.e. opened by 2 or more people etc.) and evaluations and decisions on tenders are made to avoid conflict of interest and are soundly based. This includes advertising tenders on the eTenders website, where appropriate. ⓘ)

Yes

14. When negotiating a contract on behalf of the HSE for tendered services, I ensure the key terms and deliverables align with the original tender requirements (e.g. the scope of work, payment terms and deliverables) and that all relevant parties sign the agreement.

(Note: ‘Not Relevant’ applies where you did not negotiate a contract after a tendering process in 2022) ⓘ)

Yes

15. All ongoing contracts in 2022 in my area of responsibility have been paid in accordance with the key terms and conditions of contracts awarded.

(Note: 'Not Relevant' response applies only where there were no payments relating to ongoing contracts in 2022, otherwise it is a Yes or No response). ⓘ

Yes

## 5. ICQ Statements PART 5: PROCUREMENT - Non-Competitive Process

16. I have followed HSE Procurement guidelines in order to accelerate purchases in exceptional or urgent situations as set out in NFR 01.

(Note: 'Not Relevant' response applies if no such instances occurred during the year). ⓘ

Yes

17. a) I am aware that any contracts (with a value > €25,000) which are awarded without a competitive process must be disclosed in the annual 40/02 declaration. ⓘ

Yes

## 5. ICQ Statements PART 5: PROCUREMENT - Competitive Process

b) I meet my obligations in respect of Circular 40-02 for all contracts with a value in excess of €25,000 awarded without a competitive process.

(Note: "Not Relevant" response applies only where you did not award any contracts >€25k without a competitive process in 2022). ⓘ

Yes

## 5. ICQ Statements PART 5: PROCUREMENT

Procurement Cards and Fuel Cards

One or more of my staff and/I currently have any of the following:

None of the above in 2022

## 5. ICQ Statements PART 5: PROCUREMENT

a) Engaging any contractors ⓘ

Yes

b) Engaging professional services ⓘ

Yes

c) Engaging any foreign agency staff outside of formal contracts ⓘ

Yes

d) Engaging construction or related services ⓘ

Yes

e) Ordering supplies outside the Republic of Ireland (VAT rate) ⓘ

Yes

24. I am aware of the HSE Tax Department and know where and how to source taxation advice/support when required. ⓘ

Yes

## 5. ICQ Statements PART 5: PROCUREMENT

One or more of my staff and/or I are involved in handling or signing of cheques and/or electronic funds

Yes

a) Cheque / EFT payment preparation.

Yes

b) Handling of signed cheques (if applicable).

(Note: "Not Relevant" response applies only where you and/or your team's duties do not involve handling of cheques).

Yes

c) Cheque signatories / approval of electronic funds transfer.

Yes

One or more of my staff and/or I are involved in set up, editing, review and reconciliation of supplier statement accounts

Yes

26. Set up and editing of supplier information on financial systems is limited to authorised persons consistent with segregation of duty principles.

(Note: "Not Relevant" applies only where you and/or your teams duties do not involve set up or editing of supplier information) ⓘ

Not Relevant

27. Debit balances (i.e. Debit balances on the Supplier Listing if any) are reviewed each month and recoveries are initiated (where applicable).

(Note: "Not Relevant" applies only where you and/or your teams duties do not involve debit balance review or recovery) ⓘ

Not Relevant

28. There are controls and procedures for the set-up and subsequent reversal of accruals for services received but not invoiced at the period-end where applicable. Adjustments to supplier balances are reviewed, approved and fully supported. Specific individuals are responsible for this function.

(Note: Not Relevant applies only where you and/or your teams duties do not involve preparing, reviewing or reversal of accruals) ⓘ

Yes

29. Suppliers' statements are reconciled and approved periodically (monthly/quarterly/half yearly) to financial records.

(Note: Not Relevant applies only where you and/or your team's duties do not involve reconciliation and approval of supplier statements) ⓘ

Yes

## 5. ICQ Statements PART 6: FIXED ASSETS

1. I am aware of and understand my responsibilities to ensure that HSE Assets are appropriately maintained and safeguarded as per the requirements of NFR 06 Fixed Assets.

(Note: All HSE employees should be aware of and understand their personal responsibilities with respect to HSE Assets as outlined in NFR 06). ⓘ

Yes

## ICQ Statements PART 6: FIXED ASSETS Line Manager



2. Responsibility for the safe custody and maintenance of assets is assigned to specific individuals in my team.

(Note: All HSE employees are personally responsible for protecting HSE property or property entrusted to them and for helping to protect all assets in general)

(Note: 'Not Relevant' applies only where you / and your team do not use any assets as defined in the guidance in the performance of your duties). ⓘ

Yes

3. There is a procedure in place to highlight to an appropriate Manager all requests for maintenance and emergency repairs of assets in my team.

(Note: 'Not Relevant' applies only where you / and your team do not use any assets as defined in the guidance in the performance of your duties) ⓘ

Yes

## 5. ICQ Statements PART 6: FIXED ASSETS Line Manager

4 a). All assets meeting the fixed asset definition have asset tags to allow for easy identification and verification. (Note: fixed assets are defined as those non-consumable items with a useful life of one year or more, used in normal HSE operations and are not for resale purposes (NFR 06))

(Note: 'Not Relevant' applies only where you / and your team do not use any assets as defined in the guidance in the performance of your duties) ⓘ

Yes

b). An asset register is maintained by me and/or my team in accordance with NFR 06 (e.g. Assets with a cost of greater than €2,000 for ICT Equipment or €7,000 for Other Equipment and has a useful life of more than one year). The register should include a description of each asset and details of cost, useful life, depreciation rate, accumulated depreciation and location.

(See paragraph 6.9 of NFR-06 on the values required to treat expenditure as an Asset).

(Note: 'Not Relevant' applies only where you do not have responsibility for providing details of any assets in your area or maintaining an asset register). ⓘ

Yes

c). Assets which cannot be tagged or are not included on the asset register as they do not reach the asset register value thresholds are contained on a local listing.

(Note: 'Not Relevant' applies only where you do not have responsibility for providing details of any assets in your area or maintaining a local listing of assets for your team). ⓘ

Yes

5. Routine inspections of “high risk” assets are carried out by my team to confirm existence and condition.

It should be noted that “high risk” assets are not necessarily “expensive” assets. They are assets that are critical to the HSE’s performance or assets that may be likely to breakdown or assets that could be stolen or misused.

(Note: ‘Not Relevant’ applies only where it has been confirmed there are no 'high-risk' assets associated with or in use by your team). See paragraphs 6.15.4 'Safeguarding Assets' of NFR-06 ⓘ

Yes

6. The accuracy of the asset register is verified through periodic Fixed Asset counts and / or confirmations.

(Note: ‘Not Relevant’ applies only where you do not have responsibility for either providing details of assets in your area or maintaining an asset register). ⓘ

Yes

7. I am aware of the required procedures to follow in relation to the transfer of assets between HSE locations including detailed recording of same. ⓘ

Yes

8. Procedures are in place to ensure that Fixed Assets with a value >€150,000 are disposed via auction or competitive tendering, in a transparent manner and at fair market value.

(Note: ‘Not Relevant’ applies only where you have no administrative involvement in the disposal of assets >€150,000 including identifying assets for disposal or communicating with other departments on same). ⓘ

Not Relevant

9. Prior to the sale of assets, I have ascertained from the HSE Tax Department whether VAT applies and, if applicable, the correct rate. (Please select "Not Relevant" if no assets were sold during the year). ⓘ

Not Relevant

## 5. ICQ Statements PART 7: INCOME AND CASH

1. I am aware of and understand the requirements included in NFR 13 Cash and Bank. ⓘ

Yes

2. All income and cash sources have been identified by me and/or my team and the appropriate controls and recording processes have been implemented. ⓘ

Yes

3. My team and/ or I ensure that all income and cash is collected, receipted, recorded, held, disbursed and banked properly and promptly in accordance with NFR-13.

Yes

4. There is a process in place to ensure that numbered receipts (both manual and/or electronic) are:  
> issued;  
> recorded;  
> and a copy retained for all forms of payment received (e.g. cash, cheques, credit/debit cards, electronic payments)

(Note: 'Not Relevant' applies only where you / your team do not handle income and cash).

①

Yes

5. Cash / cheques are kept in a locked safe while on the premises AND access to this safe is restricted to designated staff members.

Alternatively, in locations where no safe exists stringent security measures are in place including storage in a lockable box in a lockable cupboard and restricting access accordingly. ①

Yes

6. I am aware of the cash holding / in-transit limits for insurance purposes applicable to my location AND there is full compliance with the cash/holding/in-transit insurance limits. ①

Yes

7. The particulars of the safe at my location have been notified to my area insurance administrator. ①

Yes

8. Cash / cheques are lodged to the bank promptly.

(Note: 'Not Relevant' applies only where you have no involvement in the process around lodging cash / cheques)

Yes

9. Receipts are reconciled at least monthly to invoices raised and to entries in the general ledger.

(Note: 'Not Relevant' applies only where you have no involvement in the reconciliation process).

Yes

10. An aged debtors listing is prepared and approved periodically and there is a satisfactory process in place to follow up on overdue accounts. Uncollectable accounts are identified and written off as appropriate.

(Note: appropriate Segregation of Duties should always be in place for all activities).<sup>①</sup>

Yes

11. There is appropriate segregation of duties and roles in place, ensuring that the person who makes the bank lodgement is not the same person who checks the lodgment to the bank statement.

(Note: appropriate Segregation of Duties should always be in place for all activities).

Yes

12. Appropriate segregation of duties exist to ensure the following Cash Handling functions are not performed by the same person:

- (1) authorising payouts,
- (2) handling cash,
- (3) receipting or posting of the cash and
- (4) accounts reconciliations.

(Note: appropriate Segregation of Duties should always be in place for all activities).

Yes

13. When reviewing, processing or accounting for non-medical income receipts (such as hospital car parks) I have ascertained whether VAT applies and, if applicable, the correct rate.

(Not Relevant applies only where you do not handle, process or review any non-medical income).

Yes

## 5. ICQ Statements PART 7: INCOME AND CASH

14. Movement of funds in and out of bank accounts is performed only on the written instruction of two designated / authorised individuals.

(Note: 'Not Relevant' applies only where you do not request or perform any movements of funds as part of your responsibilities).

Yes

## 5. ICQ Statements PART 8: PEOPLE MANAGEMENT

1. I am aware of the key requirements included in the People Strategy 2019-2024 Framework. <sup>①</sup>

Yes

2. All new hire decisions are signed off by the most appropriate senior person in your area. ⓘ

Yes

3. Access to personnel records is restricted to authorised staff that need such information to carry out their duties.

(Note: 'Not Relevant' applies only where you have no oversight of access to person records) ⓘ

Yes

4. In my area of work, team meetings are held at least quarterly.

(Note: 'Yes' can also apply where you do not work as part of a team but meet with your line manager). ⓘ

Yes

5. Procedures are in place in my area for monitoring attendance in general and for tracking / monitoring certified and self-certified sick leave including return-to-work interviews, referrals to Occupational Health, etc.

(Note: 'No' applies where such procedures are not in place). ⓘ

Yes

6. My team and I are aware of the sick pay scheme within the HSE including the requirement for each staff member to notify local payroll of the amount of Illness Benefit/Occupational Benefit payable to them by the Department of Social Protection (DSP). ⓘ

Yes

7. I have completed the new mandatory HSE Dignity at Work Training / e-learning modules which are available on HSE Land and forwarded my completion certificate to my line manager. ⓘ

Yes

8. a) I am aware of the "People's Needs Defining Change - Health Services Change Guide" which is the organisational policy framework and agreed approach to change. ⓘ

Yes

8. b) People's Needs Defining Change - Health Services Change Guide has informed all relevant change initiatives in my area of responsibility.

Please only select "Not Relevant" if there are no change initiatives in your area in 2022. ⓘ

Yes

9. My team and I are actively engaged in relation to the mandatory Performance Achievement Programme. ⓘ

Yes

## 5. ICQ Statements PART 8: PEOPLE MANAGEMENT Line Manager

10. Headcount and other pay expenditure in overtime and agency is  
> kept within limits as set out in the annual funded workforce plan and in compliance with budget allocation, or  
> where there is a deviation it is signed off by the relevant line manager. ⓘ

Yes

11. a) In my team, all staff are recruited in compliance with the HSE recruitment license and in accordance with the selection and appointment policy.

(Note: for statement (a) 'Not Relevant' applies only where your team did not recruit staff in 2022). ⓘ

Yes

11. b) In my team, all agency staff are engaged under HSE framework contracts and properly authorised.

(Note: for statement (b) 'Not Relevant' applies only where your team did not engage any agency staff in 2022). ⓘ

Yes

12. I take action to improve staff performance that is deemed to be below standard in my team. ⓘ

Yes

## 5. ICQ Statements PART 9: INFORMATION TECHNOLOGY

1. I am aware of and understand the key requirements included in NFR 07 ICT Funding and Approval, in particular those requirements that are relevant to my role in the HSE. ⓘ

Yes

2. My staff and/or I are aware of the relevant HSE National IT Policies & Standards and how they apply to our/my day to day responsibilities. ⓘ

Yes

3. Plans are in place in my area of responsibility, in the event that key software systems cease operating, so I can continue carrying out my duties effectively. ⓘ

Yes

4. All ICT purchases I made during 2022 have been in accordance with NFR 07 ICT Funding and Approval.

(Please select Not Relevant if you didn't make any ICT purchases during the year). ⓘ

Yes

5. My team and I only use HSE portable devices and laptops that have been encrypted.

(Note: 'Not Relevant' applies only where you do not use any HSE laptops or portable devices as part of your role) ⓘ

Yes

6. Only software that is approved by eHealth & Disruptive Technologies is downloaded onto portable devices and laptops. ⓘ

Yes

7. I comply with the HSE Electronic Communications Policy, the HSE Mobile Phone Device Policy and the HSE Password Standards Policy. ⓘ

Yes

8. a) I have completed the new mandatory Cyber Security Awareness Training / e-learning modules which are available on HSE Land and forwarded my completion certificate to my line manager. ⓘ

Work in Progress

## ICQ Statements PART 9: INFORMATION TECHNOLOGY Line Manager

8. b) All of my team have completed the mandatory Cyber Security Awareness Training / e-learning modules and I have received all completion certificates. ⓘ

Work in Progress

9. There is shredding facilities in place in my area of work for the disposal of confidential waste.

(Note: 'Not Relevant' applies only where you do not handle any sensitive or confidential material as part of your role). ⓘ

Yes

## 5. ICQ Statements PART 9: INFORMATION TECHNOLOGY Line Manager

10. Access to data, program files, systems and IT licences are restricted to authorised personnel and removed accordingly when staff leave my team/the organisation.

(Note: 'Not Relevant' applies only where your direct reports do not require access to any data, program files systems or IT licenses).<sup>(i)</sup>

Yes

## 5. ICQ Statements PART 10: GRANTS TO OUTSIDE AGENCIES

1. I am aware of and understand the key requirements included in NFR 18 (Protecting the HSE's Interest) and NFR 31 (Grants to Outside Agencies), in particular those requirements that are relevant to my role in the HSE. <sup>(i)</sup>

Yes

2. NFR31 and the Operating Procedures, are followed in relation to the establishment of new and the renewal of existing arrangements where external Agencies are to be funded for the provision of health and personal social services.

(Note: 'Not Relevant' applies only where you are not involved in the process of establishing or renewing arrangements with external agencies for the provision of health and personal social services.) <sup>(i)</sup>

Yes

a). Clearly identified needs assessment for the Services which are in line with National Service Plan priorities.

(Note: 'Not Relevant' applies only where you are not involved in the establishment or annual renewal of service and funding agreements with external agencies).

Yes

b) Clearly identified outcomes and performance measurements in line with National Service Plan priorities.

(Note: 'Not Relevant' applies only where you are not involved in the establishment or annual renewal of service and funding agreements with external agencies).

Not Relevant

c) Identified Quality standards, clinical and corporate governance processes.

(Note: 'Not Relevant' applies only where you are not involved in the establishment or annual renewal of service and funding agreements with external agencies).

Not Relevant



d) Identified Costs associated with the Services to be delivered which demonstrate value for money.

(Note: 'Not Relevant' applies only where you are not involved in the establishment or annual renewal of service and funding agreements with external agencies).

Not Relevant

4. a) There is National Standard Governance Documentation, Service Arrangement or Grant Aid Agreement, in place for all externally provided services in line with NFR-31.

(Note: 'Not Relevant' applies only where you are not required to administer a Service Agreement and/or Grant Aid Agreement document as part of your role). ⓘ

Yes

b) Each individual funding arrangement is reviewed annually to ensure it is utilising the relevant current National Standard Governance Documentation.

(Note: 'No' applies where the individual funding arrangements are not reviewed).

(Note: 'Not Relevant' applies only where you are not required to administer a Service Agreement and/or Grant Aid Agreement document as part of your role). ⓘ

Yes

c) The Service Arrangement / Grant Aid Agreement is signed by both the Agency and the delegated assignee within the HSE.

(Note: 'Not Relevant' applies only where you are not required to administer a Service Agreement and/or Grant Aid Agreement document as part of your role). ⓘ

Yes

d) They are signed in a timely manner with Service Arrangements Part 1 and Schedules in particular signed by the 28th February of each year.

(Note: 'Not Relevant' applies only where you are not required to administer a Service Agreement and/or Grant Aid Agreement document as part of your role). ⓘ

Yes

e) All funding arrangements are recorded on the Service Provider Governance (SPG) on-line system.

(Note: 'Not Relevant' applies only where you are not required to administer a Service Agreement and/or Grant Aid Agreement document as part of your role). ⓘ

Yes

5. The assignment of responsibilities for the management and monitoring of external Agencies is commensurate with the volume and complexity of the services and funding provided in line with the Operational Procedures and Guidelines. ⓘ

Yes

6. a) The performance requirements are clearly stipulated in the governance documentation (e.g. Service Arrangement/Grant Aid Agreement Schedules).

(Note: 'Not Relevant' applies only where you are not required to administer or monitor any performance or returns documentation as part of your role). ①

Yes

• i) Finance

Yes

• ii) Staffing General

Yes

• iii) Service Activity

Yes

• iv) KPI

Yes

• v) Quality, Safety and Service Improvement

Yes

• vi) Complaints (Bi Annual requirement Schedule 8)

Yes

• vii) Service User Satisfaction

Yes

c) Monitoring meetings are attended by the appropriate HSE and Agency personnel, and held at the relevant frequency, in line with the requirements of NFR31 and Operational Procedures.

(Note: 'Not Relevant' applies only where you are not required to administer or monitor any performance or returns documentation as part of your role).

Yes

7. a) The quality and safety of services provided are evaluated regularly and confirmed as meeting the required standards.

(Note: 'Not Relevant' applies only where you are not required to review external arrangements for quality and safety considerations). ⓘ

Yes

b) Where services are not meeting the required standards, action is taken to address the areas of non-compliance.

(Note: 'Not Relevant' applies only where you are not required to review external arrangements for quality and safety considerations). ⓘ

Yes

8. The governance information requirements as outlined in Schedule 5 of the Service Arrangement is adhered to and Agencies submissions are reviewed by relevant HSE personnel.

(Note: 'Not Relevant' applies only where you are not required to review governance information relating to outside agencies). ⓘ

Yes

9. a) Audited Financial Statements and External Auditors management letters are received and reviewed for Agencies in receipt of above €150k per annum, and a reconciliation of the HSE Allocation is performed by relevant HSE personnel.

(Note: 'Not Relevant' applies only where you are not responsible for the financial management/oversight of the Service Arrangement/Grant Aid Agreement). ⓘ

Yes

b) Annual Financial Monitoring Returns are received and reviewed for Agencies in receipt of above €250k per annum.

(Note: 'Not Relevant' applies only where you are not responsible for the financial management/oversight of the Service Arrangement/Grant Aid Agreement). ⓘ

Yes

c) For Agencies in receipt of below €150K per annum, assurances are received, that the funding was used for the purpose given, in line with the contractual terms, and in a manner which promotes value for money.

(Note: 'Not Relevant' applies only where you are not responsible for the financial management/oversight of the Service Arrangement/Grant Aid Agreement). ⓘ

Yes

10. In line with the terms of the National Standard Governance Documentation agencies are notified in a timely fashion of non-compliance with contractual terms. (Note: "Not Relevant" applies only where you are not required to monitor compliance as part of your role). ⓘ

Yes

11. Where non-compliance has occurred, prompt corrective action has been taken to ensure proper resolution, in line with the terms of the Governance Documentation. ⓘ

Yes

12. A file is maintained at each HSE funding location for each HSE funded Agency, which is in accordance with the Operational Procedures, and available for review.

(Note: 'No' applies where you are aware that there is no file maintained for at least one HSE funded agency).

('Not Relevant' applies only where you have no oversight of agency files as part of your role). ⓘ

Yes

## 5. ICQ Statements PART 11: PATIENT PRIVATE PROPERTY

1. I am aware of and understand the key requirements included in NFR 22 Patient Private Property and the PPP Guidelines, in particular those requirements that are relevant to my role in the HSE. ⓘ

Yes

- a) Lodgements and withdrawals from bank account

(Note: 'Not Relevant' applies only where you are not involved in making lodgements or withdrawals as part of your role) ⓘ

Yes

- b) Use of the prescribed 'PPP Withdrawal Form' and issuing of cheques and cash

(Note: 'Not Relevant' applies only where you are not involved in withdrawals as part of your role) ⓘ

Yes

- c) Maintenance of account signatories

(Note: 'Not Relevant' applies only where you have no oversight of account signatories) ⓘ

Yes

- d) Transfer of funds to and from PPP Central Unit

(Note: 'Not Relevant' applies only where you are not involved in transfers to or from PPP Central Unit as part of your role) ⓘ

Yes

3. My team and/or I use all prescribed PPP forms as per NFR 22 with appropriate approvals obtained prior to processing.

(Note: 'Not Relevant' applies only where you and/or your team are not involved in processing prescribed PPP forms as part of your role) ⓘ

Yes

4. All PPP bank account cheque signatories are authorised in writing.

(Note: 'Not Relevant' applies only where you have no oversight of cheque signatories) ⓘ

Yes

5. Monthly PPP Bank Reconciliations and local Cash Control Accounts are completed and reconciled in a timely fashion.

(Note: 'Not Relevant' applies only where you have no involvement or oversight of reconciliations) ⓘ

Yes

6. All State allowances such as State Pensions and Disability Allowances are receipted through PPP Central Unit, Tullamore.

(Note: 'Not Relevant' applies only where you have no involvement or oversight of the transfer of State allowances) ⓘ

Yes

7(a). Surplus/dormant client PPP funds are transferred to PPP Central Unit on a regular basis.

(Note: 'Not Relevant' applies only where you are not involved in surplus/dormant client PPP funds as part of your role) ⓘ

Yes

7(b). Balances held in respect of deceased/discharged clients are followed up with appropriate enquiries to effect payment to the entitled person(s).

(Note: 'Not Relevant' applies only where you are not involved in surplus/dormant client PPP funds as part of your role)

Yes

8. All PPP Bank charges are settled by year-end close-off.

(Note: 'Not Relevant' applies only where you are not involved in year end settlement of bank charges) ⓘ

Yes

9. All monies held on behalf of clients are recorded on the PPP system, including cash given by next of kin, save where clients with capacity instruct otherwise and keep it on their person.

(Note: 'Not Relevant' applies only where you are not involved in the holding of client monies) ⓘ

Yes

10. Where supported banking arrangements are provided to clients with limited capacity, adequate controls are in place to safeguard the clients' funds.

(Note: 'Not Relevant' applies only where you have no oversight or involvement with client banking arrangements as part of your role) ⓘ

Yes

## NFR17 Statement of Positions Held

I am aware of the key requirements in relation to Voluntary Donations, Gifts, Bequests, Membership of Boards and Committees as outlined in NFR-17. ^ ⓘ

Yes

I am a member of a board of an external organization that receives HSE funding, either in my private capacity or in my capacity as a HSE employee, that should be disclosed as per NFR-17. ^

^ I understand that my response acts as my digital sign-off of this requirement.

No

## 2022 Controls Assurance Statement

I confirm that I have read and understand the 2022 Controls Assurance Statement (see link above)

I understand that selecting "Yes" below acts as my digital sign-off of this document

Yes