

Chapter 8

Policies, Procedures, Protocols and Guidelines

To support the delivery of services the HSE has in place a wide range of written policies, procedures, protocols and guidelines which provide a standardised and comprehensive framework of administrative procedures and regular management reporting including; segregation of duties, a system of delegation and accountability and a system for the authorisation of expenditure. These contracts are essential to ensure that robust and effective organisational governance is in place.

The list of HSE policies, procedures, protocols and guidelines by Division which support the delivery and safety of services in Table (A) overleaf is also available on the HSE Code of Governance webpage via the following link:

www.hse.ie/eng/about/Who/directoratemembers/codeofgovernance/governance.html

This list is not exhaustive and is subject to change in line with legislative provisions, recommended best practice, and other requirements. To ensure reference is made to the most recent version, accessible on-line. The full content may be accessed via the HSE Code of Governance webpage as above.

These policies, procedures, protocols and guidelines include procedures designed to ensure compliance with the following as required by the Code of Governance of State Bodies (2009);

- ▶ All pay and travel circulars issued by the Department of Public Expenditure and Reform
- ▶ Procedures for acquisitions and disposals of state assets
- ▶ Procurement procedures
- ▶ Capital projects standard appraisal process
- ▶ Tax compliance

The HSE Management Controls Handbook sets out the overall framework for risk and control within the organisation and supports managers in facilitating improved management and internal control within their area of responsibility. All staff have a role to play in relation to controls and risk management and a responsibility for ensuring compliance with control and risk management arrangements within their area. Managers have a critical leadership role to play in ensuring that the HSE is meeting its governance and accountability obligations and delivering services in an effective and safe manner. All managers should read this Handbook to ensure that they fully understand their duties and obligations as managers.

The HSE's National Financial Regulations form an integral part of the system of internal financial control and have been prepared to reflect current best practice. Particular attention has been given to ensure that the Financial Regulations are consistent with statutory requirements, Department of Public Expenditure and Reform circulars and public sector guidelines. The National Financial Regulations set out the financial limits, by staff grade, for procurement contract approval, revenue and capital expenditure and property transactions. Compliance with National Financial Regulations is mandatory throughout the organisation. The development and maintenance of the HSE's suite of National Financial Regulations is an ongoing process, with new regulations and updates to existing regulations issued periodically in response to new or emerging requirements.

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Table (A) HSE Policies, Procedures, Protocols and Guidelines by Division

Human Resources
▶ Annual Certification of Registration of Nurses and Midwives with An Bord Altranais
▶ Annual Certification of Registration of Social Workers with the Social Workers Registration Board at CORU (2014)
▶ Children First – National Guidance for the Protection and Welfare of Children (2011)
▶ Code of Conduct for Health and Social Service Providers (Draft) (2015)
▶ Compliance with Health Sector Pay Policy (2013)
▶ Corporate Safety Statement (2014)
▶ Dignity at Work Policy for the Health Service (2009)
▶ Disciplinary Procedure for Employees of the HSE (2007)
▶ Employee Resource Pack
▶ Employee Wellbeing and Welfare Strategy (2009)
▶ Erasures and Sanctions issued by Regulatory Authorities against HSE employees (2012)
▶ Garda Clearance of New Employees (2007)
▶ Garda Vetting and Assessment of Existing Employees in the Health Service (2012)
▶ Good Faith Reporting Policy (2011)
▶ Grievance and Disciplinary Procedure for the Health Service (2004)
▶ Guidance Document on the management of Temporary Appointments (2014)
▶ Integrated Employee Wellbeing and Welfare Strategy (2009)
▶ Latex Allergy Prevention and Management (2011)
▶ Leave for Elected Representatives of Local Authorities (2012)
▶ Long Term Absence Benefit Schemes Guidelines (2012)
▶ Managing Attendance Policy (2014)
▶ Management of Professional Registers and Amendments to such Registers (2010)
▶ Manual Handling and People Moving Policy (2012)
▶ National Tobacco Free Campus Policy (2012)
▶ National Transfer Policy (2007)
▶ Pandemic Absence Sick Leave Procedure Reporting (2010)
▶ Policy and Guidelines for Lone Working 2012)
▶ Policy for Preventing and Managing Critical Incident Stress (2012)
▶ Policy for Prevention and Management of Stress in the Workplace (2012)
▶ Policy on Management of Work Related Aggression and Violence (2014)
▶ Policy Statement on Fraud and Corruption – Information and Guidelines for Staff (2015)
▶ Protected Disclosures of Information in the Workplace (2009)
▶ Protecting Staff from Second-hand Smoke (2014)
▶ Redeployment of Staff in an National Pandemic or other Major Emergency (2010)
▶ Rehabilitation of Employees Back to Work after Illness or Injury (2011)
▶ Safeguarding Vulnerable Persons at Risk of Abuse (2014)
▶ Secondment Policy and Procedures (2011)
▶ Terms and Conditions of Employment (2009)
▶ Trust in Care Policy (2005)

A full listing of Circulars issued by HSE HR from 2005 are available at the following link:

http://hsenet.hse.ie/Human_Resources/resources/?importUrl=http://localhost:82/eng/staff/Resources/HR_Circulars/

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Finance

NFR-1 Purchase to Pay

- ▶ NFR-2 Policies and Procedures Guide for Completion of the Annual Financial Statements
- ▶ Revisions to NFR-02 Policies and Procedures Guide for the Completion of the Annual Financial Statements
- ▶ NFR-3 Payroll
- ▶ NFR-4 Payroll Overpayments and Underpayments
- ▶ NFR-5 Travel and Subsistence
- ▶ NFR-6 Fixed Assets and Capital Accounting
- ▶ NFR-7 ICT Funding and Approval
- ▶ NFR-8 Retention of Financial Records
- ▶ NFR-9 Engagement and Management of Consultants
- ▶ NFR-10 Credit Card and Procurement Cards
- ▶ NFR-11 Efficient Deployment of Resources
- ▶ NFR-13 Cash and Bank
- ▶ NFR-14 Financial Management in Community Residences
- ▶ NFR-15 Other Staff Costs
- ▶ NFR-16 Value Added Tax
- ▶ NFR-17 Voluntary Donations, Gifts and Bequests
- ▶ NFR-17 Statement of Positions held in a Charitable Body/Voluntary Fundraising Committee 2009
- ▶ NFR-18 Protecting the HSE's Interest
- ▶ NFR-19 Inventory control
- ▶ NFR-20 Emergency Response
- ▶ NFR-21 Consultants' Private Practice
- ▶ NFR-22 Patient Private Property
- ▶ NFR-23 Due Diligence Investigations
- ▶ NFR-24 Property Purchase Deposits
- ▶ NFR-25 Hospital Acute Charges and Debtors
- ▶ NFR-26 Department of Finance Sanction
- ▶ NFR-27 Mobile Phone Devices
- ▶ NFR-28 Petty Cash
- ▶ NFR-29 Franking Machines
- ▶ NFR-30 Lease and Rental Arrangements
- ▶ NFR-31 Grants to outside agencies

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Quality, Risk and Patient Safety

Policies

- ▶ National Consent Policy (2014)
- ▶ HSE Business Continuity Policy (2009)
- ▶ Safety Incident Management Policy (2014)
- ▶ HSE Policy Supporting major investigations, receipt of subsequent reports and managing the implementation of the report recommendations (2012)
- ▶ Good Faith Reporting Policy (2011)
- ▶ National Consent Policy (2014)
- ▶ National Policy and Procedure for Safe Surgery (2013)
- ▶ Medical Devices/Equipment Management Policy (Incorporating the Medical Devices Management Standard) (2009)

Codes and Standards

- ▶ HSE Code of Practice for Healthcare Records Management – Abbreviations (2010)
- ▶ HSE Standards and Recommended Practices for Healthcare Record Management (2010)
- ▶ NHO Code of Practice for Healthcare Records Management – Retention and Disposal (2007)
- ▶ National Maternity Healthcare Record (2008)
- ▶ HSE Standards and Recommended Practices for Central Decontamination Units (2011)
- ▶ HSE Standards and Recommended Practices for Endoscope Reprocessing Units (2012)
- ▶ HSE Standards and Recommended Practices for Dental Central Decontamination Units (CDU) (2014)
- ▶ HSE Standards and Recommended Practices for Decontamination of Reusable Invasive Medical Devices for a Local Decontamination Unit (Dental services) (2012)
- ▶ HSE Standards and Recommended Practices for Post Mortem Examination Services (2012)

Guidance

- ▶ A Practical Guide to Clinical Audit (2013)
- ▶ Quality and Safety Walk arounds (2013)
- ▶ Quality and Safety Committee: Guidance and Sample Terms of Reference (2013)
- ▶ Safety Pause Information Sheet (2013)
- ▶ Risk Management in the HSE. An information Handbook (2011)
- ▶ Risk Assessment Tool and Guidance (2011)
- ▶ Developing and Populating a Risk Register. Best Practice Guidance. (2009)
- ▶ HSE Guideline for Systems Analysis Investigation of Incidents and Complaints (2012)
- ▶ Best Practice Guidance for Development of a Site Specific Safety Statement (2008)
- ▶ National Integrated Care Discharge Guidance (2014)

Checklists

- ▶ National Clinical Programmes Model of Care Development Checklist Governance for Quality and Safety
- ▶ Quality and Patient Safety: Clinical Governance Development: an assurance check for health service providers (2012)
- ▶ Quality and Safety Prompts for multidisciplinary teams (2012)

Infection Prevention and Control Guidelines

- ▶ National Clinical Guideline – Prevention and Control Methicillin-Resistant Staphylococcus aureus (MRSA) (2013)
- ▶ National Guidelines on the Management of Outbreaks of Norovirus Infection in Healthcare Settings (2003)

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- ▶ Guidelines on Minimising the Risk of the Transmission of Transmissible Encephalopathies in Healthcare Settings in Ireland (2004)
- ▶ National Guidelines for the Control of Legionellosis in Ireland (2009)
- ▶ National Guidelines for the Prevention of Nosocomial Invasive Aspergillosis during Construction/Renovation Activities (2002)
- ▶ National Guidelines for Blood-borne viruses in haemodialysis, CAPD and renal transplantation setting (2014)
- ▶ Guidelines for hand hygiene in Irish healthcare settings (2015) (Update of 2005 guidelines)
- ▶ Infection Prevention and Control Building Guidelines for Acute Hospitals in Ireland (2009)
- ▶ Guidelines for Antimicrobial Stewardship in Hospitals in Ireland, (2009)
- ▶ National Guidelines – Prevention of Intravascular Catheter-related Infection in Ireland (2014)
- ▶ Guidelines for the prevention of ventilator-associated pneumonia in adults in Ireland (2011)
- ▶ Guidelines for Antimicrobial Prescribing in Primary Care in Ireland (2013)
- ▶ Guidelines for the Prevention of Catheter-associated Urinary Tract Infection (2011)
- ▶ Diagnosis and Management of Urinary Tract Infection in residents of long term care facilities (2011)
- ▶ Updated Guidelines on Screening for Carriage of Resistant Enterobacteriaceae in Ireland (2014)
- ▶ Guidelines for Control and Prevention of Multi-Drug Resistant Organisms (MDRO) Excluding MRSA in the Healthcare Setting (2014)
- ▶ National Clinical Guidelines on the Surveillance, Diagnosis and Management of C. difficile Infection in Ireland (2014)
- ▶ Infection Prevention and Control for Primary Care in Ireland, a Guide for General Practice (2014)

Advocacy and Customer Care

- ▶ National Healthcare Charter – You and your health service.
- ▶ Open Disclosure: National Policy (2013)
- ▶ Open Disclosure: National Guidelines – Communicating with service users and their families following adverse events in healthcare. (information for staff) (2013)
- ▶ Open Disclosure: Communicating when things go wrong. (patient information leaflet) (2013)
- ▶ 'Your Service, Your Say' The Policy and Procedures for the Management of Consumer Feedback to include Comments, Compliments and Complaints

Information Communications Technology

- ▶ Information Security Policy (2013)
- ▶ I.T. Acceptable Use Policy (2013)
- ▶ Electronic Communications Policy (2013)
- ▶ Mobile Phone Device Policy (2010)
- ▶ Password Standards Policy (2013)
- ▶ ICT T&C confidentiality Agreement (2013)
- ▶ Encryption Policy (2013)
- ▶ Access Control Policy (2013)
- ▶ Remote Access Policy (2013)
- ▶ Information Classification and Handling Policy (2013)

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Information Communications Technology

- ▶ Third Party Network Access Agreement (2013)
- ▶ Third Party Network Access Agreement (HSE Funded Agencies) (2015)
- ▶ Service Provider Confidentiality Agreement (2012)
- ▶ Data Protection Breach Management Policy (2010)
- ▶ Internet Content Filter Standard (2011)
- ▶ HSE Standard Terms For ICT Services and Supplies (2014)
- ▶ HSE Vendor Participation Framework Agreement for ICT Services and Supplies (2014)
- ▶ Private Medical Secretary Claimsure Confidentiality Agreement (2014)

Procurement

- ▶ Procurement Support Request (PSR) Guide (2015)
- ▶ Procurement Support Request (PSR) Forum V7 (2015)
- ▶ Aggregation & Standardisation (2009)
- ▶ Compliance with HSE Procurement Policy, Protocols, Procedures
- ▶ Community Aids & Appliances Recycling Guidance (2012)
- ▶ Contract Award & Framework Agreement Notices (2009)
- ▶ Laboratory Equipment (HSE Procurement Policy)
- ▶ Lifecycle Costing (2009)
- ▶ Supplier Charter
- ▶ Terms & Conditions (2009)

Estates

- ▶ Protocol for Acquisition & Disposal of Property
- ▶ Capital Protocol
- ▶ Waste Management Policy and Statement of Principles

Communications

- ▶ Staff Guide Parliamentary Affairs
- ▶ FOI

Health and Wellbeing

- ▶ Alcohol Partnership Policy (2015)
- ▶ Calorie Posting Policy (2015)
- ▶ National Breastfeeding Policy for Primary Care Teams and Community Healthcare Settings (2015)
- ▶ Healthier Vending Policy (2014)
- ▶ Guidelines for Quality Assurance in Mammography Screening, Fourth Edition (2015) (Breastcheck)
- ▶ Guidelines for Quality Assurance in Cervical Screening, Second Edition (2013) (CervicalCheck)
- ▶ Guidelines for Quality Assurance in Colorectal Screening (2012) (BowelScreen)
- ▶ Standards for Quality Assurance in Diabetic Retinopathy Screening (2013) (Diabetic RetinaScreen)

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Clinical Strategy and Programmes

- ▶ Acute Coronary Syndrome Model of Care
- ▶ Report of the National Acute Medicine Programme
- ▶ NEWS Guideline
- ▶ Model of Care for Preadmission Units
- ▶ National Manpower Strategy for Anaesthesia
- ▶ Model of Care for Paediatric Anaesthesia
- ▶ Emergency Adult Asthma Guideline
- ▶ Emergency Paediatric Asthma Guideline
- ▶ Model of Care for COPD Outreach
- ▶ Model of Care for Adult Critical Care
- ▶ Nutrition Support Guideline for Critical Care Patients
- ▶ Model of Care for the Diabetic Foot
- ▶ Model of Care for the Provision of Continuous Subcutaneous Insulin Infusion Therapy in children aged 5 and Under
- ▶ Emergency Medicine Programme Report
- ▶ Patient Visiting Protocol in ED
- ▶ ED Best Practice Guidelines
- ▶ Infection Control Algorithm for ED
- ▶ Governance in ED Guideline
- ▶ Paediatric Triage Guideline
- ▶ Model of Care for Heart Failure Services
- ▶ Guideline for the Early Diagnosis of Heart Failure in the Community
- ▶ Irish Maternity Early Warning Score
- ▶ Ultrasound Diagnosis of Early Pregnancy
- ▶ Intrapartum Foetal Heart Rate Monitoring
- ▶ Management of Early Pregnancy Miscarriage
- ▶ Guideline for the Critically ill Woman in Obstetrics
- ▶ Specialist Geriatric Services Model of Care Part 1: Acute Services
- ▶ National Rapid Discharge Guidance for Patients Who Wish to Die at Home
- ▶ End of Life Map
- ▶ Eligibility Criteria for Specialist Palliative Care Services
- ▶ NCEC Guideline no. 6: Sepsis Management
- ▶ Thrombolysis Pathway
- ▶ Model of Care for Stroke Services
- ▶ Model of Care for Elective Surgery
- ▶ Model of Care for Acute Surgery
- ▶ Day of Surgery Admission Guidelines
- ▶ Day of Surgery Guidelines
- ▶ Integrated Care Pathway for Management of Fractured Neck of Femur
- ▶ Orthopaedic Outpatient Safe Clinic Guidelines
- ▶ Model of Care for Trauma & Orthopaedic Surgery
- ▶ Optimal Reperfusion Protocol

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- ▶ Ambulatory Care Pathway
- ▶ Medical Short Stay Pathway
- ▶ Routine specialist in-patient care pathway
- ▶ Frailer and older patients with complex needs after discharge pathway
- ▶ Model of Care for Pulmonary Rehabilitation
- ▶ Model of Care for Dermatology Services
- ▶ Pain Management Guideline
- ▶ Transition of Care Protocol
- ▶ Management of Second Trimester Miscarriage
- ▶ Post Stroke Pain Pathway
- ▶ Discharge Planning Guidelines
- ▶ Integrated Care Pathway for Management in ED
- ▶ Diagnostic Imaging in Abdominal Pain Guideline
- ▶ Mental Health Transport Protocol
- ▶ Palliative Care in ED Model
- ▶ Guidelines for Safe & Effective Management and Use of Point of Care Testing
- ▶ Model of Care for End Stage Kidney Disease
- ▶ Acute Management of TIA
- ▶ Acute Stroke Management
- ▶ Hypertension Care Pathway
- ▶ Urinary Continence Post Stroke
- ▶ Diagnosis, staging and treatment of patients with Breast Cancer
- ▶ National Clinical Guideline for the Diagnosis, Staging and Treatment of Prostate Cancer
- ▶ National Clinical Guideline – Diagnosis, staging and treatment of patients with Gestational Trophoblastic Disease