MaPS Standards Control Self-Assessment – Tool Guide

Version 3

Money & Pensions Service

This document provides guidance on each section within the control self-assessment template and relevant headings contained within. This document should be used in conjunction with the 'Control Self-Assessment - MaPS Standards Guidance', which provides guidance specific to individual Standards.

Please complete each section sequentially as it will reduce input requirements in later stages.

Order of completion	Section	Purpose
Section 1.	**Control Library**	To capture detail on the controls in place which ensure compliance against the MaPS Standards. All controls should be included in the library and they will be available for selection as a drop down within your assessment against each of the specific standards in stage 3. You will have the opportunity to go back and add additional controls, should you find controls have been missed when completing the Standards Assessment. There is also an opportunity to detail any internal continuous improvement activity that may be relevant to the specific control.
Section 2.	**Standards Assessment**	To capture details on how individual standards are met, and how controls link specifically to the individual standard. This will also capture your assessment of the strength of the combined controls you set out when determining compliance with each standard, taking into account any gap analysis of the impact of the combined controls. There is also an opportunity to detail any internal continuous improvement activity that may be relevant to the specific standard.
Section 3.	**Organisation Summary** and **Self-Attestation**	To capture basic information about the organisation which will help provide context to the submission (i.e. channels delivered and whether there is a delivery supply chain as part of service delivery). To record confirmation of the delivery partners' compliance against the Standards at the point of submission. This will remain valid until the next submission is due (usually annually however this will be confirmed within your MaPS agreement or as part of the MaPs governance framework for MaPS direct delivery services).

Things to note:

Please do not make any other changes to the control self-assessment template other than completing the sections as outlined within this document. For example please do not add new columns or sections to the tool as this may affect functionality and back end processes.

'Where applicable' sections are included to cover additional content that some CSA templates will have to reflect where it covers multiple services within one template. These sections will not appear on CSA's covering a single service line.

For services delivered by external partners, there may be areas of responsibility in relation to specific standards, or controls in relation to compliance with specific standards, that are jointly or solely held by MaPS as the funder. Please still reference these within your CSA and make clear in the supporting narrative in the relevant section where you feel this is the case.

Section 1: Control Library

Control Name
Please enter the name of the control.
Description
Please include a brief overview of the control and how it is used within the organisation. In particular, please provide detail on how the control is applied to each delivery channel where this may vary. i.e. 'The client charter is provided to all clients as a physical handout in F2F and as a recording played on IVR in telephone contact.'
Accountable for the control - Job Role
Please detail the job role of the individual who has accountability for the results of the control.
Responsible for the control - Individual/Team/Department
Please detail who has responsibility for the delivery of the control. This may be an individual, team, or department.
Frequency of application
Frequency of the control being applied e.g. monthly. In the case of a policy, we would accept this may be set as ongoing and the review frequency would be covered separately in the below field.
Frequency of Review
Frequency of the control being reviewed e.g. (x) policy is reviewed on an annual basi
How is the control monitored?
Please explain how this control is monitored, reviewed, and assessed, including any independent/external review or audit activity that may take place.
How are these controls embedded at all levels within your organisation and where appropriate any supply chain?
Please set out how you ensure that the controls are socialised and utilised within the organisation and any supply chain. Including how any revisions to these controls are managed.
Strength of Control (RAG)
What assessment would you give to the strength of this control?

Key	RAG rating on effectiveness of the control
Low	Significant concerns over adequacy/effectiveness of control in proportion to risk posed.
Medium	Some concerns over adequacy/effectiveness of control in proportion to risk posed.
High	No areas of concern over adequacy/effectiveness of control in proportion to risk posed.

Rationale for RAG
Please provide rationale for the RAG considering factors such as, how effective the control has been where it is pre-existing, or whether a control is new and remains untested.
Does this control form part of evidencing compliance against any of the MaPS Standards assessed through MaPS independent QA?
[Only applicable where MaPS Independent QA testing has commenced]
Is this control a core element of each customers interaction with the service? E.g. a customer charter given to every new customer. The aim of this data capture is to help facilitate greater understanding for the independent QA (customer facing testing), so there is an awareness that the control should routinely take place, or are automatically applied. Please attach any relevant documentation so these can be provided to the third-party supplier completing independent QA as part of the customer facing assessment process on behalf of MaPS.

Is there any Continuous Improvement Activity linked to this Control?
Please choose the relevant drop-down option: Yes - Recently completed: Activity recently completed, and benefits known. Yes - Underway: Activity underway but outcome not yet known. Yes - Planned: Plan fully scoped - know what is about to happen and its due to commence soon (within this financial year or next) Yes - Identified: Exploring possible CI activity need but not fully scoped or planned for. No
Continuous Improvement Activity
[Please note, this section will not appear if 'Yes - Identified' or 'No' has been chosen in the above question] Whilst an organisation's existing control(s) may provide assurance, there may be plans to make further improvements to further strengthen the control. Please set out any planned continuous improvement for the control.
Continuous Improvement Impact
[Please note, this section will not appear if 'Yes - Identified' or 'No' has been chosen in the prior question about whether there is any CI activity] Please choose any additional expected benefits of the continuous improvement activities from the drop down options: 1. Improved customer journey: Increase in positive customer feedback in relation to service(s) provided 2. Time efficiency: Improvement leading to a time saving regarding activities and processes 3. Cost efficiency: Improvement leading to a cost saving regarding activities and processes 4. Staff wellbeing: Increase in job satisfaction (employee satisfaction surveys) **Choose all that apply.**

Where applicable (where *it covers multiple services within one template)* the following additional fields will need to be completed:

Services applicable to
In this section please choose the relevant drop-down options to show which services this particular control applies to. *The names of the services will need to be agreed in advance and will be built into certain areas of the template.*
Strength of control Overall
What assessment would you give to the strength of this control overall?

Key	RAG rating on effectiveness of the control
Low	Significant concerns over adequacy/effectiveness of control in proportion to risk posed.
Medium	Some concerns over adequacy/effectiveness of control in proportion to risk posed.
High	No areas of concern over adequacy/effectiveness of control in proportion to risk posed.

Strength of control – [service line name]
What assessment would you give to the strength of this control in relation to this particular service line?

Section 2: Standards Assessment

Standard Title and Description
This section is pre-populated with all relevant standards i.e. standards that relate solely to a MaPS obligation are not included.
Summary of how the standard is met
How is this standard met? In this field set out the context for how this standard is embedded within the organisation.
How many controls are attached to the standard?
Use the drop down box to choose how many standards are used to ensure compliance with this standard.
Control 'X' lookup
[To be completed for each control linked to the standard] Either: 1. Use the drop down box, or; 2. Starting typing the name of the control into the box, to choose one of the controls linked to the standard from the entries in the control library. Please note, you are able to go back and add more controls to the control library if needed.
Type of Control
[To be completed for each control linked to the standard] Select one or more of the types of controls that best describe the control in question from the drop-down box. <u>Preventative</u> - What has your organisation put in place to ensure a Standard is being met and prevent non-compliance from materialising? For example, many applications have built-in checks and balances to avoid entering incorrect information. It could also include training, either technical on systems, or knowledge based. <u>Detective</u> - What internal controls identify errors or non -compliance after it has occurred? Ideally, an issue will be identified before it becomes a significant problem. For example, internal quality assurance would enable an organisation to identify non-compliance with systems and controls. <u>Corrective</u> - How does your organisation remediate non-compliance against the Standards? These controls could include retraining, increasing frequency of the 'detective' activity, review/modification, or additional preventative controls. They are usually put into place after a root cause investigation. *Note: The categorisation of the type of control takes place in this section as we recognise that some controls may apply to different standards in slightly different ways. Including the categorisation here helps visualise the breadth of the types of controls in place for the individual standard i.e. its easier to see whether there is the full set of types of controls or where there might be gaps e.g. no corrective control linked to a particular standard.*
How it links specifically to the standard
[To be completed for each control linked to the standard] Please detail the specific part of the control that relates to the standard. e.g. what part of the policy or training addresses the specific standard.

Assessment of strength of all controls relating to this standard (RAG)

What assessment would you give to the strength of how effective the collective controls are in ensuring compliance with this standard?

Key	RAG rating on effectiveness of controls from assurance work undertaken
Low	Significant concerns over adequacy/effectiveness of controls in proportion to risk posed - would be considered a gap.
Medium	Some concerns over adequacy/effectiveness of controls in proportion to risk posed - would be considered a gap.
High	No areas of concern over adequacy/effectiveness of controls in proportion to risk posed.

Rationale for RAG

Please provide rationale for the RAG considering factors such as, how effective the controls have been where they are pre-existing, or whether a control remains untested etc.

Gap Analysis

[Please note, where the strength of the controls relating to this standard is green the gaps analysis section will not be triggered to be populated]

Where you have assessed the strength of the control to be amber or red, please provide a brief overview of the gap/s identified including detail of any controls that are missing or require improvement to ensure compliance with the standard.

How many actions are attached to control 'x'?

[Please note, where the strength of the controls relating to this standard is green, this action section will not be triggered for population]

Use the drop-down box to choose how many remedial actions are planned to address the gaps identified that are specific to this control. Please note a maximum of 3 actions can be listed per control so it may be appropriate to group relevant actions if there are more than 3.

Action 'X' (control 'X')

[Please note, where the strength of the controls relating to this standard is green, this action section will not be triggered for population]

Please detail the action/s required to address the gaps identified in this control.

Action 'X' (control 'X') deadline for completion

[Please note, where the strength of the controls relating to this standard is green, this action section will not be triggered for population]

Please enter the date the action is due to be completed by.

Action 'X' (control 'X') status

[Please note, where the strength of the controls relating to this standard is green, this action section will not be triggered for population]

Please choose one of the following options from the drop down box:

- Not started
- Complete
- In progress
- Overdue

Are there any actions required not linked to an existing control?

[Please note, where the strength of the control is green the action section will not be triggered to be populated]

Please detail the action/s required to address the gaps identified that are not linked to an existing control e.g. if a new control needs to be introduced. Please include in your narrative the deadline for completion and current status of this action (either: Not started, In progress, Complete or Overdue)

Is there any Continuous Improvement Activity linked to improving compliance with this Standard?
Please choose the relevant drop-down option: Yes - Recently completed: Activity recently completed, and benefits known. Yes - underway: Activity underway but outcome not yet known. Yes - planned: Plan fully scoped - know what is about to happen and its due to commence soon (within this financial year or next) Yes - Identified: Exploring possible CI activity need but not fully scoped or planned for. No
Continuous Improvement Activity
[Please note, this section will not appear if 'Yes - Identified' or 'No' has been chosen in the above question] There may be plans to make improvements to strengthen the control/s in place linked to this specific standard. Please set out any planned continuous improvement activity to improve/enhance compliance with MaPS Standard and how it's expected to enhance compliance (for example an increase in the number, or robustness of controls).
Continuous Improvement - Secondary Impact
[Please note, this section will not appear if 'Yes - Identified' or 'No' has been chosen in the prior question about whether there is any continuous improvement activity] In addition to improving/enhancing compliance with MaPS Standard, please choose the drop-down options any additional expected/realised benefits of the continuous improvement activities: 1. Improved customer journey: Increase in positive customer feedback in relation to service(s) provided 2. Time efficiency: Improvement leading to a time saving regarding activities and processes 3. Cost efficiency: Improvement leading to a cost saving regarding activities and processes 4. Staff wellbeing: Increase in job satisfaction (employee satisfaction surveys) **Choose all that apply.**

Where applicable (where *it covers multiple services within one template)* the following additional fields will need to be completed:

Services applicable to
In this section please choose the relevant drop-down options to show which services this particular standard assessment entry this applies to. *Note: in some cases multiple entries for one standard may be needed in the standard assessment section (i.e. if for a particular standard the controls environment are too different to cover all in one entry).* *The names of the services will need to be agreed in advance and will be built into certain areas of the template.*
Services applicable to (control X)
In this section please choose the relevant drop-down options to show which services this particular control applies to.

The names of the services will need to be agreed in advance and will be built into certain areas of the template.
Controls strength overall (RAG)
What assessment would you give to the strength of how effective the collective controls are in ensuring compliance with this standard?

Key	RAG rating on effectiveness of controls from assurance work undertaken
Low	Significant concerns over adequacy/effectiveness of controls in proportion to risk posed - would be considered a gap.
Medium	Some concerns over adequacy/effectiveness of controls in proportion to risk posed - would be considered a gap.
High	No areas of concern over adequacy/effectiveness of controls in proportion to risk posed.

Controls strength [service line name] (RAG)
What assessment would you give to the strength of how effective the collective controls are in ensuring compliance with this standard for this particular service line?

Section 3: Organisation Summary and Self Attestation

This section of the template is to be completed both upon initial submission, and then annually thereafter. Please refer to your commercial agreements which may specify exact timings, or discuss with your quality manager who should be able to confirm this.

Submitted By:
Name of individual submitting the Self Attestation.
Channel delivery through MaPS funding (tick all that apply):
Options: - Face to face - Video Chat - Telephone - Webchat - Email - WhatsApp - Other - Social Media - Other - post - Other - portal
Do you have omni channel available within your service?
Please choose Yes or No. For this purpose omni channel is defined as: Where more than one channel is used to advise a customer.
Do you have delivery partners in your supply chain?
Do you have a supply chain as part of the service delivered for or on behalf of MaPS? Please note: this only refers to delivery partners. Please choose Yes or No.
Submitted On:
Date of submission of the Self Attestation.
Have you used control self-assessment to align your systems processes and controls to the MaPS Standards?
Please choose Yes or No.

In your assessment, are there any standards that your service does not currently comply with? (select all that apply)
Please choose Yes or No.
If Yes, please add the reference to the standard/s:
Please choose all standards references that apply from the drop down options.
If Yes, have you put in place an action plan to remediate the above?
Please choose Yes or No.
By ticking the below you declare that all the information submitted in this form is true and correct to the best of your knowledge.
Please tick this box when all information is entered and correct.