Audit Committee, 16 March 2016

Stage 1 BSI Assessment for ISO10002:2014 certification

Executive summary and recommendations

Introduction


This report covers the basic documents and processes required to progress to the Stage 2 audit which may result in the recommendation for certification. It is not exhaustive.

Two opportunities for improvement were identified; namely

1) The complaints process is free of charge. No compensation is paid out. This should be referenced within the HCPC Customer Services Procedure.

2) The outputs and effectiveness of the ISO 10002 awareness training to be rolled out will be reviewed at the Stage 2 Audit.

These items have been added to the improvement log.

The next audit (Stage 2) will take place on 21st & 22nd March. Two auditors will be on site on the first day. See pages 7 & 8 for the provisional Stage 2 plan.

Decision

The Committee are asked to note this report.

Resource implications

None known.

Appendices

None.

Date of paper

7 March 2016
Introduction.

This report has been compiled by Ali Mian and relates to the assessment activity detailed below:

<table>
<thead>
<tr>
<th>Visit ref/Type/Date/Duration</th>
<th>Certificate/Standard</th>
<th>Site address</th>
</tr>
</thead>
<tbody>
<tr>
<td>8439198</td>
<td>CMS 645851</td>
<td>Health &amp; Care Professions Council</td>
</tr>
<tr>
<td>Stage 1 Audit</td>
<td>ISO 10002:2014</td>
<td>Park House</td>
</tr>
<tr>
<td>16/02/2016</td>
<td></td>
<td>184 Kennington Park Road</td>
</tr>
<tr>
<td>1 day(s)</td>
<td></td>
<td>London</td>
</tr>
<tr>
<td>Effective no. of employees : 29</td>
<td></td>
<td>SE11 4BU</td>
</tr>
<tr>
<td>Total no. of employees : 29</td>
<td></td>
<td>United Kingdom</td>
</tr>
</tbody>
</table>

The objective of the assessment was to determine the organisation's readiness for the stage 2 audit and to ensure its effective planning.

Management Summary.

**Overall Conclusion**

I am pleased to confirm your readiness to proceed to the stage 2 assessment.

Progress has been established towards certification. There are no known nonconformities at this time.

The stage 2 audit duration is planned to be 3 day(s) with BSI Assessors Ali Mian and Richard Hawkins attending, date of audit 21st March 2016 to 22nd March 2016. As a result of this visit the duration is to be reviewed and confirmed by our Sales department.

The scope of the audit is 'The operation of a Complaints Management System to the requirements of ISO 10002:2014'.

The objectives of this assessment have been achieved.

I would like to thank all the audit participants for their assistance and co-operation which enabled the audit to run smoothly and to schedule.

Based on the objective evidence detailed within this report, the areas assessed during the course of the visit were found to be effective.

There were no outstanding nonconformities to review from previous assessments. No new nonconformities were identified during the assessment. Enhanced detail relating to the overall assessment findings is contained within subsequent sections of the report.
Mandatory Requirements.

Areas Assessed & Findings.

Business Overview:
A brief overview of the business was given by the Service and Complaints Manager and Head of Business Process Improvement who described the service delivery processes. An overview of the organisation and Customer Services structure was provided, along with information on the complaints processes, interaction with other departments and external organisations.

The Health and Care Professions Council (HCPC) has operated a complaints and feedback function since 2004. The role is carried out by the Service and Complaints Manager in the Secretariat who manages incoming feedback from stakeholders; this includes logging and assigning feedback and complaints across the organisation, identifying urgent complaints and supporting managers with the drafting of responses and handling of issues where requested. The Service and Complaints Manager responds to some complaints directly and drafts responses for the Chief Executive and Chair where appropriate. The Service and Complaints Manager maintains the Complaints Database where complaints, positive feedback and letters are stored, along with a log of correspondence with MPs. The Service and Complaints Manager works with managers in each of the 9 Directorates (Communications, Fitness To Practice, Policy + Standards, Education, Operations, Secretariat Customer Services, Finance, HR and IT) to ensure the quality and consistency of complaint responses, identify corrective actions and ensure that these are implemented.

The Complaints Handling Framework within HCPC comprises of 29 FTE:
- 10 EMT;
- 3 for Assurance + Development (part of Fitness To Practice);
- 10 Case Team Managers;
- 1 Service and Complaints Manager + 1 Administrator;
- 5 Registration Managers.

The Customer Service Handling function within HCPC is preparing for certification.

A discussion with the Chief Executive demonstrated a clear commitment of senior management to continue to maintain and operate its complaints management system. Certification is seen as important to verify a clear focus on providing and improving high levels of customer service as well as standardisation of processes and business requirements. The Chief Executive showed commitment to ensure that the complaints management system is designed and maintained to deliver continual improvement, customer focus and business effectiveness and efficiency.

Confirmation of the Scope of activity to be covered by assessment & Confirmation of assessment duration, resourcing requirements & BSI Coding:

Confirmation of certification scope is to be clarified at the Stage 2 assessment. At this assessment the scope was determined as:- 'The operation of a Complaints Management System to the requirements of ISO 10002:2014.'

Assessment durations were also discussed and the process was explained and agreed with the Client. The proposed BSI T- coding was discussed and it was found to be appropriate to the business.
A detailed discussion was conducted on the current processes and how they comply with the requirements of the Standard using each clause and sub-clause as the basis and much was seen to be in place covering:
- 4 Guiding Principals;
- 5 Complaint Handling Framework;
- 6 Planning & Design;
- 7 Operation of Complaints Handling (documented procedure only);
- 8 Maintenance and Improvement.

The organisation has refined and updated processes, already in place as part of its ISO 9001:2008 accreditation, which enable them to resolve complaints and gauge customer satisfaction. Complaint Handling processes have been clearly identified and mapped with associated procedures and work instructions. The following elements were assessed and reviewed:
- HCPC Customer Services Procedure dated 10.02.2016, available on the Intranet. The HCPC implement and maintain three key procedures:
  * Customer Feedback and Complaints.
  * Customer Feedback and Complaints Review.
  * Complaints received from Parliamentarians (process flow sampled).
- The Customer Service Policy statement (Issue Date 26.01.16 V1 endorsed by the Chief Executive) was reviewed and determined to be relevant to the business, with a clear commitment to customer service being demonstrated.
- HCPC Customer Service Training PowerPoint Presentation in final stages of approval to be rolled out. This was found to be very detailed and robust covering the entire ISO 10002 Standard comprehensively. Once this is rolled out, the effectiveness of training completed will be reviewed at the BSI Stage 2 Audit in March.

It was noted that the Complaints Representative is the Service and Complaints Manager.

The complaints system is driven by the iExtensions Database. The system was seen to be operating effectively in monitoring the level of customer dissatisfaction and opportunities for improvement.

Visibility of the system and access to the complaints process is available on the Website (via the Complaints Procedure) by the use of telephone, email, or letter and the role of the Service and Complaints Manager is also shown.

The Website (Complaints Procedure) identifies how people can complain, aims, outcomes and feedback:-
- Aims: To acknowledge receipt of feedback within 3 working days. To respond to feedback within 15 working days. To keep you regularly updated as to the progress of your enquiry if the issue has not been resolved within agreed times. To deal with all feedback in an effective, fair and confidential manner. To ensure continuous learning is taken from feedback and implemented.
- Stage 1: The Service and Complaints Manager in the Secretariat will log your initial concerns and acknowledge receipt. The complaint will be passed to the relevant department that you initially dealt with for investigation and a response.
- Stage 2: If unsatisfied with the response that the department has provided, a request can be made for the complaint and the response to be reviewed by the Service and Complaints Manager.
- Stage 3: If still unsatisfied with the response and review, the complaint will be reviewed by the Chief Executive or a member of the Executive Management Team.
- Outcome of Complaints: Response may include an explanation of our policy and processes related to your feedback; an apology for any errors that have occurred; learning points that have been taken from your feedback; complaint reporting at HCPC.
- Feedback: contact details of the Service and Complaints Manager provided.

Processes have been developed to ensure there is an effective response in accordance with their urgency. KPIs have been developed at an operational level. All complaints are acknowledged with resolution time frames determined.
The complaints process is free of charge. No compensation is paid out.

Confidentiality: It was stated that the HCPC complaints and feedback function do not disclose information on complainants to any party other than those concerned. Sampled the Data Policy + Terms of Use.

A detailed review was carried out of the system to the requirements of the Standard ISO 10002:2014 by considering each clause against the documentation content and the manner in which the requirements have been addressed. This was found to be an effective presentation and generally compliant to all the clauses.

The organisation has taken extra efforts to incorporate and utilize best practices. Specific Targets & Objectives have been formally established and documented. Many areas of the organisation's activities are already being measured utilising regular meetings, updates, various reporting structures. These also form the basis for the establishment of measurable objectives. Adequate measures are in place to ensure the business meets its resourcing needs. The company is fully resourced/staffed to meet the nature and scope of the business. Equipment and employee levels are reviewed to ensure that service levels can be achieved. Evidence seen:-
- Objectives created for the Customer Services department DOC A4 V1 dated 10.02.16. RAG Rated to track progress. As Objectives are set annually, the aim is that Objectives around Complaints Handling and Customer Service will be formally established and agreed for each of the managers within the Directorates at the next annual review of Targets.
- Strategic Intent 2016 - 2020.
- Postgraduate Certificate for R.C. Service and Complaints Manager 'Conflict Resolution Skills' April 2014 from Coventry University.
- ELearning Package being developed focusing on ISO 10002 awareness.
- Consultant M.B. 'Blackmores' has delivered an ISO 10002 presentation to FTP and Complaints Team in preparation for this certification.

Complaints/Escalations are received, recorded and thoroughly investigated to determine whether they are substantiated or unsubstantiated. Complaints/Escalations are investigated and action taken accordingly. There is an effective process in place for developing corrective and preventive action as a result of a complaint/escalation.

The organisation recognises that most complaints resolutions are gained by direct contact with customers and the strategy of HCPC is to promote complaints awareness through the customer to ensure effective and timely resolution and closure and at the same time to promote Service Improvement. Key performance indicator information related to customer satisfaction is available via:-
- Registration Department Complaints and Feedback 2014/15.
- Council 3 Dec 2015 Six Monthly Review of Feedback and Complaints Executive Summary and Recommendations Date of Paper 24.11.2015. Detailed stats/KPI's are collated from database information on complaints and escalations. All complaints and escalations are classified and then analysed to identify systematic, recurring and single incident problems and trends. Monitoring of the complaints-handling and escalations process was evidenced to be effectively planned and managed. Performance was effectively reported, analysed and utilised to improve processes as evidenced and witnessed through the following presented for review today:-
  * 2014 -15 Yearly Total of Complaints Received = 491.
  * 2014 -15 Number of Complaints per 1000 Registrants = 1.48.
  * During the review period received and responded to 289 complaints. Responded to 250 complaints with the service level of 15 working days, 87% per cent of complaints received.
  * 2014 -15 Number of pieces of Positive Feedback = 108.

Management Review processes evidenced demonstrated the organisation was committed to improving the effectiveness of the Management System with records of the status of inputs and decisions related to outputs evidenced. Records of Management Review evidenced dated 10.02.2016. Meeting was held with top management to discuss the forward strategy and policy of the organisation. The organisation is to continue improving its processes aligned to ethos of the Standard.
An Audit of the Complaints Management System has been planned and implemented and undertaken independently by the external Consultant M.B. 'Blackmores'. The Audit Report evidenced 001/2016 dated 28.01.2016 was comprehensively scoped with objective evidence reported to support the findings (Minor NCRs, Observations and Recommendations and planned applicable actions).

A number of Opportunities For Improvement are recorded for consideration to assist implementation prior to the Stage 2 assessment. The organisation should consider reviewing the Opportunities For Improvement as a priority prior to the Stage 2 assessment. See below for details.

### Opportunity for improvement.

<table>
<thead>
<tr>
<th>Type</th>
<th>Area/Process</th>
<th>Clause</th>
</tr>
</thead>
<tbody>
<tr>
<td>Opportunity for improvement</td>
<td>Documented Complaints Management System</td>
<td></td>
</tr>
<tr>
<td>Scope</td>
<td>CMS 645851</td>
<td></td>
</tr>
<tr>
<td>Details:</td>
<td>1) The complaints process is free of charge. No compensation is paid out. This should be referenced within the HCPC Customer Services Procedure.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2) The outputs and effectiveness of the ISO 10002 awareness training to be rolled out will be reviewed at the Stage 2 Audit.</td>
<td></td>
</tr>
</tbody>
</table>

During the course of the visit logos were found to be used correctly.

### Assessment Participants.

On behalf of the organisation:

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
</tr>
</thead>
<tbody>
<tr>
<td>Roy Dunn</td>
<td>Head of Business Process Improvement</td>
</tr>
<tr>
<td>Ruth Cooper</td>
<td>Service and Complaints Manager</td>
</tr>
<tr>
<td>Mel Blackmore</td>
<td>Consultant</td>
</tr>
<tr>
<td>Marc Seale</td>
<td>Chief Executive</td>
</tr>
</tbody>
</table>

The assessment was conducted on behalf of BSI by:

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ali Mian</td>
<td>Team Leader</td>
</tr>
</tbody>
</table>
Next Visit Plan.

Visit objectives:
Stage 2
The objective of the assessment is to conduct a certification assessment to ensure the elements of the proposed scope of registration and the requirements of the management standard are effectively addressed by the organisation’s management system and to confirm the forward strategic plan.

Visit Criteria
3 day Stage 2 Audit with BSI Assessors Ali Mian and Richard Hawkins attending, date of audit 21st March 2016 to 22nd March 2016.

Visit Scope
All areas of the business as described below.

<table>
<thead>
<tr>
<th>Date</th>
<th>Assessor</th>
<th>Time</th>
<th>Area/Process</th>
<th>Clause</th>
</tr>
</thead>
<tbody>
<tr>
<td>21/03/2016</td>
<td>Ali Mian and Richard Hawkins</td>
<td>09.00</td>
<td><strong>DAY 1</strong> BSI Assessors arrive on site, complete entry and escorted access to office.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Ali Mian and Richard Hawkins</td>
<td>09.15</td>
<td>Opening meeting (including BSI formalities and a review of any changes to structure, personnel or organisation since the last visit and actions arising from this report).</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Ali Mian and Richard Hawkins</td>
<td>09.30</td>
<td>Guiding Principals.</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>Ali Mian and Richard Hawkins</td>
<td></td>
<td>Complaints Handling Framework.</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td>Ali Mian and Richard Hawkins</td>
<td></td>
<td>Planning and Design.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Ali Mian and Richard Hawkins</td>
<td>11.00</td>
<td>Top Management Interview.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Ali Mian and Richard Hawkins</td>
<td>11.30</td>
<td>Maintenance and Improvement.</td>
<td>8</td>
</tr>
<tr>
<td></td>
<td>Ali Mian and Richard Hawkins</td>
<td>13.00</td>
<td>Lunch.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Ali Mian</td>
<td>14.00</td>
<td>Operation of Complaints Handling process: Sample Directorate Based Activity (2 managers to be selected).</td>
<td>7</td>
</tr>
<tr>
<td></td>
<td>Richard Hawkins</td>
<td>14.00</td>
<td>Operation of Complaints Handling process: Sample Directorate Based Activity (2 managers to be selected).</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Ali Mian and Richard Hawkins</td>
<td>16.00</td>
<td>Progress Review Discussion.</td>
<td></td>
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</tbody>
</table>
Arrival and Confirmation of Plan.

09.30 Operation of Complaints Handling process: Secretariat Customer Service function to be assessed.

11.00 Operation of Complaints Handling process: Sample Directorate Based Activity (2 managers to be selected).

12.30 Lunch.

13.30 Operation of Complaints Handling process: Sample Directorate Based Activity (2 managers to be selected).


16.00 Closing Meeting.

Please note that BSI reserves the right to apply a charge equivalent to the full daily rate for cancellation of the visit by the organisation within 30 days of an agreed visit date. It is a condition of Registration that a deputy management representative be nominated. It is expected that the deputy would stand in should the management representative find themselves unavailable to attend an agreed visit within 30 days of its conduct.


Main Scope

The scope has been confirmed as correct.

<table>
<thead>
<tr>
<th>Location</th>
<th>Scope</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health &amp; Care Professions Council Park House 184 Kennington Park Road London SE11 4BU United Kingdom</td>
<td>Main Certificate Scope applies.</td>
</tr>
<tr>
<td>HEALTH-0047125084-000</td>
<td></td>
</tr>
</tbody>
</table>
Notes.

The assessment was based on sampling and therefore nonconformities may exist which have not been identified.

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BSI
Kitemark Court,
Davy Avenue, Knowlhill
Milton Keynes
MK5 8PP

Tel: +44 (0)845 080 9000
Email: MK.Customerservices@bsigroup.com

Regulatory Compliance.

BSI conditions of contract for this visit require that BSI be informed of all relevant regulatory non-compliance or incidents that require notification to any regulatory authority. Acceptance of this report by the client signifies that all such issues have been disclosed as part of the assessment process and agreement that any such non-compliance or incidents occurring after this visit will be notified to the BSI client manager as soon as practical after the event.